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ABSTRACT

This interim study was conducted to provide descriptive and analytic information about Chapter 1 program operations during the second year of implementation of the Hawkins Stafford Act amendments to the Elementary and Secondary Education Act. Data were collected through a mail survey administered to Chapter 1 coordinators in 1,600 school districts, with an overall response rate of 88 percent. Additional information was obtained through on-site interviews in a nested sample of 9 states, 27 districts, and 54 schools. Findings indicate that the program improvement process that provides leverage for school change by holding schools accountable for student growth should continue, but two weaknesses are the inaccuracy of the identification process and a significant underestimation of the magnitude of the needed program improvement effort. Findings on schoolwide projects indicate a real sense of excitement in some high poverty schools, although accountability requirements and parent involvement components were not well implemented. Data also indicate that procedures for identifying students who had not made gains for 2 consecutive years were weakly implemented. Finally, visits to sites and state coordinators indicated that state Chapter 1 coordinators have difficulty exercising programmatic leadership. Included are 56 exhibits; and 3 appendixes containing the district survey, information on the study methodology, and 17 back-up tables. (JB)

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THE CHAPTER 1 IMPLEMENTATION STUDY

INTERIM REPORT

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THE CHAPTER 1
IMPLEMENTATION STUDY

INTERIM REPORT

1992

By:

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This volume summarizes the first two years of the three-year Study of Chapter 1 Implementation. The study addresses how states, school districts, and schools have responded to the changes in Chapter 1 created by the Hawkins-Stafford Amendments of 1988. The study is being carried out by Abt Associates Inc. and its subcontractor, Policy Studies Associates, under contract with the Office of Policy and Planning in the U.S. Department of Education.

In this volume, we summarize the results of a nationally representative survey of district Chapter 1 coordinators and site visits to 9 states, 27 districts (three in each state), and 54 schools (two in each district). Data were collected during the 1990-91 school year, the second year of Hawkins-Stafford implementation.

A subsequent report will describe the findings of surveys of principals, regular classroom teachers, and Chapter 1 teacher/aides in a representative sample of 1,000 Chapter 1 schools during the 1991-92 school year.

The conduct of this study and the preparation of this report were sponsored by the U.S. Department of Education, Office of Policy and Planning, under Contract No. LC89038001 (Daphne Hardcastle, Project Officer). Any opinions, findings, conclusions, or recommendations expressed do not necessarily reflect the views of the U.S. Department of Education. Nor do the examples included herein imply judgement by the Department or the contractor as to their compliance with federal or other requirements.

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EXECUTIVE SUMMARY

OVERVIEW OF THE HAWKINS-STAFFORD AMENDMENTS

Since 1965 when the Congress passed the originating legislation for Title I of the Elementary and Secondary Education Act, Chapter 1 has provided supplemental instruction to low-achieving students in low-income schools. For over 25 years, Chapter 1 has been the cornerstone of federal elementary compensatory education efforts, and its $5.3 billion available to school districts for school year 1990-91 dominates the federal elementary/secondary education budget. The breadth of Chapter 1 influence in public education should not be underestimated: three-quarters of all elementary schools, about half of middle and junior high schools, and one-quarter of high schools participate in Chapter 1.

Over time, amendments to Chapter 1 have sought to detail the fiscal requirements of acceptable programs, clarify school targeting and student selection procedures, foster parent involvement, provide more usable evaluation information, and reduce administrative burden. Most recently, the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988 made numerous important changes in Chapter 1.

For the first time, the federal government served notice that schools must show improved achievement among the lowest achieving students and that resources should be targeted for those schools that do not. Unlike any previous federal legislation, the amendments prescribed that districts and states must take corrective steps when student performance falls below preset standards (that is, shows no gain).

The legislation also outlined steps to be taken when schools do not meet performance standards, beginning with the implementation of a school program improvement plan. If schools do not make substantial progress after one full year of implementation, schools are then to implement a joint state/district improvement plan. States have a continuing oversight role until the school building's Chapter 1 program improves. To provide incentive grants to districts with schools in program improvement, each state administers a separate budget of program improvement funds, which is also specified in the federal amendments.

Three other statutory provisions were strengthened to make Chapter 1 programs more effective, each grounded in research findings about effective educational programs. First, the law encouraged an expansion in schoolwide projects, where high poverty schools may spend Chapter 1 funds in a way that benefits all students in the school, without regard to their achievement levels. The longstanding local matching funds requirement was withdrawn, and the amendments introduced accountability requirements to ensure that Chapter 1-eligible students continued to make achievement gains.

Second, new language on parent involvement activities (including language evaluating the effectiveness of parent involvement) was added, reinstituting, in a modified manner, the emphasis on parent involvement that had been deleted in the 1981 legislation. Among the new activities were the training of parents to help their children through home learning activities and the involving of parents in schoolwide projects and schools in need of improvement.

Third, greater coordination with the regular school program was urged, buttressed by the new regulatory requirement that performance in the regular school program was to be assessed in addition to the assessment of Chapter 1 performance. Coordination with other programs, such as special education and programs for limited-English-proficient students, was also explicitly noted.

Finally, the Hawkins-Stafford Amendments changed a number of other administrative and operational issues. Innovation projects were introduced, whereby up to 5 percent of the Basic Grant could be spent on such activities as continued service to previous Chapter 1 participants to maintain their program and continued services to eligible children who transferred, as part of a desegregation plan, to schools or areas not participating in Chapter 1. A capital expenses fund was also established to help offset the costs of providing services to Chapter 1 students attending private schools. This fund was set up in response to the 1985 Supreme Court decision in Aguilar v. Felton that prohibited public school personnel from providing Chapter 1 instructional services in religiously affiliated schools.

The purpose of this report is to provide descriptive and analytic information about program operations during the second year of implementation of the amendments (school year 1990-91). The study of Chapter 1 implementation will continue in 1991-92 with national surveys of principals, classroom teachers, Chapter 1 teachers, and aides in 1,000 Chapter 1 schools.

STUDY DESIGN AND METHODOLOGY

National estimates on practices under the Hawkins-Stafford provisions were based on a mail survey administered to Chapter 1 coordinators in 1,600 school districts. Districts were selected based on enrollment size and percent poverty; all districts enrolling 10,000 or more students were selected with certainty. The sampling procedures duplicated those used for the 1985-86 survey of Chapter 1 operations for the previous National Assessment. Surveys were mailed to respondents the first week in October of 1990. Follow-up contacts, including a telephone-administered survey of selected survey items, were completed by mid-December 1990, with an overall response rate of 88 percent.

Additional information on Chapter 1 was obtained through on-site interviews in a nested sample of nine states, 27 districts (three in each state), and 54 schools (two in each district). States and districts were selected based in part on size, poverty, and geographic diversity, as well as variation in implementation of specific Hawkins-Stafford provisions (that is, schools in need of improvement, schoolwide projects, and parent involvement). Site work ran from November of 1990 through March of 1991. At the state level, interviews were held with the state Chapter 1 coordinator and Chapter 1 staff, as well as with staff responsible for Chapter 1 evaluation, if they were located in a different office. Within school districts, interviews were held with the Chapter 1 coordinator, other district Chapter 1 staff, principals, classroom teachers, Chapter 1 teachers and aides, and parents of Chapter 1 children.

FINDINGS

The findings are organized around each of the major new provisions of the Hawkins-Stafford Amendments. This report begins with a brief overview of the Chapter 1 Basic Grant program. All findings are from the national survey of district Chapter 1 coordinators, unless otherwise noted.

The Chapter 1 Basic Grant Program

- Chapter 1 serves 5.2 million students in 52,000 public schools. In addition, about 168,000 Chapter 1 students attend private schools.

- Among Chapter 1 public schools nationwide, 70 percent are elementary schools, 12 percent are middle or junior high schools, and 5 percent are senior high schools. The remaining Chapter 1 schools are primarily combined elementary and secondary schools (8 percent) and combined junior and senior high schools (2 percent).

- Chapter 1 offers supplemental instruction in reading, mathematics, and language arts. Virtually all districts offer reading, two-thirds of districts offer mathematics, and about one-third offer language arts.

- Over the past five years, more districts are using a variety of program designs to deliver Chapter 1 services. Limited pullout programs remain the most common (found in 82 percent of districts), but there has been almost a 50 percent increase in the number of districts offering in-class instruction (up from 37 percent of districts in 1985-86 to 62 percent of districts in 1990-91). Replacement and extended pullouts are offered in more districts, as are extended day and extended year programs. Schoolwide projects are now found in 4 percent of districts (up from 1 percent in 1985-86).

- Seventy-two percent of district Chapter 1 projected expenditures pay for instructional salaries.

Program Improvement

- The universal measure for assessing school quality was the aggregate performance measure of a normal curve equivalent (NCE) gain greater than zero. It is used both for aggregate performance and as a desired outcome.

- In defining desired outcomes for Chapter 1 students, 65 percent of districts reported using other instruments in conjunction with norm-referenced tests.

- Over the 1989-90 and 1990-91 school years, almost 4,000 school districts have had at least one school identified as in need of improvement. Over 10,000 schools have been identified.

- Among districts with schools identified, only 27 percent of districts rated the accuracy of the identification process as "good," while 41 percent rated it "fair," and 32 percent rated it "poor." Site visits found that a central issue for implementing program improvement plans is a lack of faith in the accuracy of the identification process.

- Schools implementing school improvement plans are following the maximum time schedule allowed, with planning for one full year followed by full implementation in the second year (if the school continued to show no achievement gains at the end of the first year). No schools had begun the joint state/district improvement process in 1990-91.

- Technical assistance to schools in need of improvement is most frequently provided by district and state Chapter 1 offices.

- Few districts have received program improvement funds from their state offices; and grants, when awarded, are quite small. The median district grant for 1990-91 was $2,000. Only about one-third of districts are investing part of their Chapter 1 Basic Grant in program improvement activities.

- According to interviews during site visits, the nature of school improvement activities undertaken rests in large part on whether districts perceived that the identification process was accurate. In about two-thirds of the districts identified, planning activities were undertaken; in about two-fifths of the districts, improvement activities were initiated, the most common being staff development.

- Among the continuing issues in implementing program improvement requirements are concerns about the meaning and reliability of NCE gains, the need to fine tune other measures to be used as desired outcomes, the limited evaluation expertise in school districts, problems that resist program improvement (such as pervasive poverty and high student mobility), and uncertainty about the upcoming state role in school improvement activities.

- Few districts have established procedures for assessing the needs of Chapter 1 students who have not shown gains after two consecutive years in the program.

Schoolwide Projects

- The number of schoolwide projects has grown rapidly, from 621 schools in 1989-90 to 1,362 in 1990-91. Most districts surveyed reported multiple advantages to this option.
- The most common components in schoolwide projects are reduced class size, supplemental services that have flexible selection procedures, and staff development.
- According to site visit information, concerns about schoolwide projects include the worry that services will be diluted for low-achieving students.
- At the time of site visits, the requirements for accountability and for parent involvement in planning had had few visible effects .

Parent Involvement

- Over the past three years, more districts have undertaken an expanded variety of parent involvement activities. Almost three-quarters of the districts reported disseminating home-based education activities to reinforce classroom instruction (up from 46 percent in 1987-88). The number of districts using liaison staff to work with parents rose sharply (up to 47 percent). Linking with other programs providing adult literacy has also increased in a number of districts (from 11 percent of districts in 1987-88 to 22 percent of districts in 1990-91).
- For just over half the districts (52 percent), the single most important objective was communicating with parents about their own children's progress in Chapter 1. Another 28 percent of districts cited as their major focus the training of parents to help their children at home.
- The intensity and types of parent involvement activities vary across districts, with the largest districts more likely to offer more activities and to fund parent specialists.
- Almost all districts assess the effectiveness of Chapter 1 parent involvement through attendance at Chapter 1 activities.
- Based upon data from field visits, it appears that the more effective parent involvement programs are characterized by strong leadership, unusually dedicated staff, a welcoming and respectful attitude

toward parents, and recognition of the special needs of disadvantaged parents.

Program Coordination

- Based on interview data from site visits, the effect of the Hawkins-Stafford Amendments on coordination is a modest one. Usually only schoolwide projects fully integrate Chapter 1 into the regular curriculum.

- Other information from site visits indicates that coordination of Chapter 1 with the regular school program occurs primarily through informal meetings rather than through formal mechanisms. Rarely used are such structural methods as joint planning time.

- Site visit data also indicated that coordination with other educational programs is enhanced when the other programs are designed to complement Chapter 1 or when personnel are jointly funded.

Select New Topics

- After the Aguilar v. Felton decision, school districts devised alternative ways to serve Chapter 1 students attending private schools. Most Chapter 1 students attending private schools are served through one of three methods: computer systems in private schools (32 percent of students); mobile vans (29 percent); and neutral sites (24 percent).

- About one-fourth of the districts that have Chapter 1 private school students applied for capital expenses funds. Of those, 88 percent received funds for capital expenses. Most funds went for the purchase of property and transportation costs.

- Only about 3 percent of districts have innovation projects.

State and Local Relations

- Most state-local interactions revolve around program mechanics, especially application preparation and review.

- In monitoring visits, districts reported that most attention is paid to two areas that receive new emphasis in the law, parent involvement and coordination, as well as the ongoing concerns of program design and student targeting.

- Almost all districts report that their State Education Agency (SEA) Chapter 1 office is helpful in some way, and districts give their SEAs very high ratings for forthrightness and availability.

- Site visits revealed that the new provisions for program improvement represent a major challenge for SEA Chapter 1 offices. SEAs report difficulty staffing up to cope with their new responsibilities. The school year 1991-1992 will be the first year of joint SEA/LEA program improvement plans.

CONCLUSIONS AND IMPLICATIONS

Our concluding observations also focus on the major new provisions of the amendments.

Program Improvement

Through the program improvement process, the Hawkins-Stafford Amendments have sought to provide leverage for school change by holding schools accountable for student growth and by providing assistance to poorly performing schools. These processes should continue, as the tools in the law are potentially very powerful ones. Nevertheless, two weaknesses in the process have undermined their effectiveness: little faith in the accuracy of the identification process and a significant underestimate of the magnitude of the needed program improvement effort. To help remedy identification issues, we recommend supporting further consideration of multiple measures, using a composite score to identify schools, assessing school quality over a multi-year period, and continuing to provide support to districts with little evaluation expertise. To enhance the program improvement process itself, we urge that the magnitude of the effort be reinforced and that the improvement effort extend until improved student performance has been sustained for several years.

Schoolwide Projects

Schoolwide projects have created a real sense of excitement in some high poverty schools, with principals and teachers welcoming the resources and the freedom to make changes they believe will improve their schools. In these schools, Chapter 1 is at the forefront of ideas about educational improvement. This is not to say that schoolwide projects automatically brought benefits. In some cases, changes appeared piecemeal and are not based on a vision of educational improvement. Furthermore, at the time of our field work, few schools were thinking about the accountability requirements, and the parent involvement requirement was weakly implemented.

Parent Involvement

Parent involvement activities have expanded over the last three years, especially in the area of communicating with individual parents about their own children's progress. Schools were making good efforts to hold parent-Chapter 1 teacher conferences, an effort that should receive continued support.

The schools with the more effective parent involvement activities share characteristics that warrant consideration on a larger scale. These characteristics include support for a comprehensive approach to parent involvement for both parents and children (including presentation in parents' native languages); funding of parent specialists or parent liaisons for outreach and provision of services; and active dissemination of good practices.

Student Improvement

Procedures for identifying students who have not made gains for two consecutive years are weakly implemented, and few districts are now changing their programs to address the needs of these students. The message implicit in this new provision -- that students should not spend their entire school career in Chapter 1 -- has not been heard. The process, however, is worth pursuing, especially when it resembles the case management approach used in some state school improvement efforts.

State and Local Relations

Despite the obvious dedication and competence of state Chapter 1 coordinators and their staff, there are serious limitations to what they can do regarding local Chapter 1 programs. Based upon information obtained during visits to nine state agencies and some of the districts they serve, we must express concern about the capacity of the SEA Chapter 1 offices to exercise programmatic leadership. Staff sizes are small; other responsibilities already involve major time commitments; and staff members are much more comfortable with regulatory and fiscal matters than with curriculum and instruction in their dealings with school districts. As states are called upon to play an increasing role in program improvement, the limits on SEA capacity will pose increasing problems.

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I would first like to thank the state and district Chapter 1 coordinators, school principals, Chapter 1 teachers, classroom teachers, and parents who spent countless hours with the field teams discussing the Chapter 1 program. Hundreds of people were interviewed in the nine states and 27 school districts that were visited in 1990-91. A special thanks to the 1,500 district Chapter 1 coordinators who completed the national survey on Chapter 1 implementation.

I especially want to acknowledge the work of Brenda Turnbull. Dr. Turnbull was responsible for the design, analysis and report writing around issues of schoolwide projects and state/local relations. She provided much sound advice and guidance on all aspects of the study and played a central role in drawing up the conclusions and implications stemming from our research.

I want to thank Marc Moss, Nancy Brigham, Beth Gamse, and Ellen Marks. Mr. Moss was responsible for the sometimes daunting analysis of the district Chapter 1 Coordinator survey. Ms. Brigham, Dr. Gamse, and Ms. Marks wrote major sections of the interim report. Ms. Brigham authored the chapter on expanding program designs (Chapter Five), as well as parts of program operations (Chapter One) and program improvement (Chapter Two). Dr. Gamse authored the chapter on parent involvement (Chapter Four) and part of the chapter on program operations (Chapter One), while Ms. Marks authored the chapter on new topics (Chapter Six).

Special thanks go the field teams who collected and analyzed data, wrote case reports, and worked with us to explore themes and trends across the districts and states. The members of the field teams were: Brenda Turnbull, Joanne Bogart, Marjorie Wechsler, and Carrie Chimerine of Policy Studies Associates; Nancy Brigham of North Kingstown, RI; Sheila Rosenblum of Philadelphia, PA: Ellen Marks of Bronxville, NY: and Beth Gamse and Marc Moss of Abt Associates. I greatly appreciate their keen analytic minds and spirit of camaraderie.

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Mary Ann Millsap
Project Director

CHAPTER ONE

CHAPTER 1 PROGRAM OPERATION

OVERVIEW

To set the context for assessing the implementation of the Hawkins-Stafford Amendments of 1988, it is important to appreciate not only the durability of Chapter 1, but also the size and scope of the Chapter 1 enterprise. Chapter 1 is one of the oldest, most well-established federal education laws, first passed as Title I of the Elementary and Secondary Education Act of 1965. Because of its history, its purpose to provide supplemental instruction to low achieving students in schools with concentrations of poor students is clearly understood; administrative structures at both state and district levels are in place; and its most common program designs and instructional strategies are well-known. The Chapter 1 budget continues to dominate federal elementary/secondary compensatory education programs, as the largest program. Its FY 1990-91 appropriation was $5.3 billion, up from $3.5 billion during 1985-1986, when the U.S. Department of Education (ED) conducted the last national assessment of Chapter 1.

This chapter on Chapter 1 operations describes the magnitude of the program, its breadth of operation within schools, and its diversity in design and methods of service delivery. National estimates are based on data from the national survey of district Chapter 1 coordinators, conducted in October and November of 1990. For readers interested primarily in the implementation of the Hawkins-Stafford Amendments, the brief statistics highlighted in this overview may suffice as an introduction to succeeding chapters. Readers wishing more detail on current program operations are encouraged to read the entire chapter before proceeding.

The remainder of the report is organized around the major topics in the Hawkins-Stafford Amendments. Chapter Two focuses on program improvement, taking the reader from the identification process through activities under way in schools. It also raises continuing issues with the process. Chapter Three examines schoolwide projects, their rapid spread among school districts, activities undertaken, and perceived advantages and shortcomings. Chapter Four examines parent involvement as reported by the national survey of district coordinators. It also describes activities undertaken in the districts and schools visited, as well as what we saw as the factors that affected parent involvement activities. Chapter Five examines expansions in the use of various Chapter 1 program designs as well as coordination with regular classroom instruction and other educational programs. Chapter Six reviews select new issues in Chapter 1, such as innovation projects, capital expenses funds, and new evaluation requirements. Chapter Seven addresses the relationship between state Chapter 1 offices and districts, including the state role in program improvement. Chapter Eight, the final chapter, elaborates on conclusions and implications from our study.

Key findings on current Chapter 1 program operations from the national survey of district Chapter 1 coordinators are:

- Chapter 1 serves 5.2 million students in 52,000 public schools.
- Among Chapter 1 public schools nationwide, 70 percent are elementary schools, 12 percent are middle or junior high schools, and 5 percent are senior high schools. Another 2 percent are combined junior and senior high schools, 8 percent are combined elementary and secondary schools, 1 percent are preschools, and 2 percent are other schools.
- Chapter 1 serves about three-quarters of all elementary schools, about half of middle and junior high schools, and about one-quarter of all high schools.
- Thirty-eight percent of Chapter 1 students attend schools in urban areas, 35 percent in rural areas, and 27 percent in suburban areas.
- In keeping with its mission to assist low achieving students in low income schools, 45 percent of Chapter 1 enrollments are found in districts in the highest poverty quartile (21 percent poor and higher), with only 11 percent in districts in the lowest poverty quartile (7 percent poor or fewer). The remaining 46 percent of Chapter 1 enrollments are found in the middle poverty quartiles.
- Chapter 1 offers instruction in reading, mathematics and language arts. Reading continues to dominate (92 percent of the districts offer reading), but two-thirds of the districts provide supplemental math instruction, and almost one-third provide language arts.
- Limited pullout programs are found in most districts (82 percent), followed by in-class instruction (62 percent) and extended pullout and replacement projects. Schoolwide projects are found in 4 percent of districts.
- Over 90 percent of districts use certified teachers to provide Chapter 1 instruction, and nearly two-thirds of school districts employ Chapter 1 aides.

- The Chapter 1 instructional program is staffed by 62,452 full-time equivalent teachers and 67,245 full-time equivalent aides.

- Across all districts with Chapter 1 teachers, the median number of full-time equivalent (FTE) teachers is 2.0, while the mean is 5.0, up from a mean FTE of 4.4 in 1985-86. Across all districts with Chapter 1 aides, the median FTE is 3.0 and the mean FTE is 9.0, up from a mean FTE of 4.3 in 1985-86. Increases are in part a reflection of increased Chapter 1 appropriations.

- Regarding district administration of Chapter 1, the median number of years that current district Chapter 1 coordinators have held that position is 6.0 years.

- Across all districts, 55 percent of district Chapter 1 coordinators report they spend no more than 10 percent of their time administering Chapter 1.

- For the 1990-91 school year, the median projected district Chapter 1 expenditures (including concentration grants) are $81,164. Estimated per pupil expenditures have a mean between $875 and $900, while the median is somewhat lower, between $800 and $825 per student.

- Salaries for teachers and aides average 72 percent of the district Chapter 1 budget. Across all districts, salaries for Chapter 1 administration comprise an average of 4 percent of Chapter 1 budgets.

THE CHAPTER 1 PROGRAM

Chapter 1 remains the cornerstone of U.S. federal elementary/secondary education programs, serving an estimated 5.2 million students in public schools. Of the 52,000 Chapter 1 public schools, 70 percent are elementary schools, 12 percent are middle or junior high schools, and 5 percent are high schools. The remaining Chapter 1 schools are primarily combined elementary and secondary schools (8 percent) and combined junior and senior high schools (2 percent).

One way to appreciate the breadth of Chapter 1 services is to review the proportion of schools in the country that receive Chapter 1 services by grade level (Exhibit 1.1):

- Chapter 1 serves one-quarter of all preschool and kindergarten schools;
- Chapter 1 serves about three-quarters of all elementary schools;
- Chapter 1 serves about half the middle and junior high schools;

Exhibit 1.1

NATIONAL ESTIMATES OF THE NUMBER OF PUBLIC SCHOOLS AND CHAPTER 1 SCHOOLS BY TYPE

Type of Public School[1]	Number of Public Schools	Public Schools With Chapter 1 Services	Chapter 1 Schools as Percent of All Schools
Pre-school and/or pre-school/kindergarten schools	2,354	564	24%
Elementary Schools	47,789	36,370	76
Middle or junior high schools	12,037	6,065	50
High schools	10,454	2,766	26
Combined junior and senior year high schools	2,628	1,291	49
Combined elementary and secondary schools	4,287	4,080	95
Other	1,829	890	49
Total	81,378	52,026	64

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[1] Weighted base N of school districts is 14,898, with an item nonresponse of 0 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

- Chapter 1 serves about one-quarter of the high schools;
- Chapter 1 serves about half of the combined junior/senior high schools; and
- Chapter 1 serves almost all (95 percent) of schools that combine elementary and secondary grades.

Distribution of Chapter 1 Students

Size of District. As shown in Exhibit 1.2, the distribution of Chapter 1 students by district size mirrors that for all students, with a somewhat higher proportion of Chapter 1 students found in the largest districts. While 35 percent of Chapter 1 students are in the largest districts (25,000 or more students), only 28 percent of all students attend school there. Districts enrolling between 10,000 and 24,999 students enroll another 15 percent of Chapter 1 students, with another 13 percent in districts with 5,000 to 9,999 students. Another 16 percent of Chapter 1 students attend schools in smaller districts (enrollment between 2,500 and 4,999 students). Twelve percent of Chapter 1 students are in the districts enrolling 1,000 to 2,499 students. The remaining 9 percent of Chapter 1 students are in the smallest districts (less than 1,000 students).

Between 1985-86 and 1990-91, there were very few changes in the distribution of Chapter 1 students and all students by categories of district enrollment.[1] In no category did the proportion change by more than 2 percent. There was a 2 percent gain in Chapter 1 students in districts enrolling fewer than 1,000 students.

For 1990-91, the total number of Chapter 1 students attending private schools is estimated at 167,612, a number somewhat higher than the 151, 948 (for 1989-90) compiled from annual state Chapter 1 performance reports. Private school students receiving Chapter 1 services are much more likely than public school students to be in the larger districts. In 1990-91, 55 percent of Chapter 1 students in private schools were in the largest districts (25,000 and more public school students). Ninety-one percent of private school students attended school in districts with 2,500 or more students.

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[1] Data from the 1985-86 school year were taken from The Current Operation of the Chapter 1 Program, 1987, prepared by the National Assessment of Chapter 1.

Exhibit 1.2

CHAPTER 1 ENROLLMENTS IN PUBLIC AND PRIVATE SCHOOLS, BY SIZE OF DISTRICT

As of October 1, 1990, how many students in public and private schools were enrolled in Chapter 1 programs?

	Public School Students		Private School Students	
Total District Enrollment[1]	**Number**	**Percent**	**Number**	**Percent**
25,000 students and above	1,809,884	35%	91,767	55%
10,000 to 24,999 students	755,298	15	18,689	11
5,000 to 9,999 students	697,694	13	16,840	10
2,500 to 4,999 students	850,061	16	24,649	15
1,000 to 2,499 students	623,947	12	10,094	6
Fewer than 1,000 students	462,277	9	5,573	3
Total	5,199,162	100%	167,612	100%

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[1] Weighted base N of school districts for public school students is 13,577, with a nonresponse rate of 9 percent. The weighted base N of school districts for private school students is 2,816. The nonresponse rate is 1 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Urbanicity. The majority (38 percent) of public school students in Chapter 1 programs (Exhibit 1.3) are in urban districts, followed by 35 percent in rural districts, with the smallest proportion (27 percent) in suburban districts. Only minor changes have occurred in the distribution of Chapter 1 enrollment among urban, suburban, and rural districts since the 1985-86 school year. In urban school districts, the enrollment increase among all students was greater than the increase for Chapter 1 students, while in rural districts, the reverse was true. This appears to reflect a change in the population mix, with more Chapter 1 students appearing on the rolls of rural school districts.

District Poverty. The larger proportion of Chapter 1 students in public schools is found in the highest poverty quartile (21-100 percent poor) districts, reflecting the fact that Chapter 1 funds are allocated to districts based on poverty. Forty-five percent of Chapter 1 enrollments are in such districts, followed by 29 percent in the next quartile, 15 percent in the second lowest poverty quartile, and only 11 percent in the lowest poverty quartile (Exhibit 1.4).

The distribution of Chapter 1 students in public schools among poor and affluent districts changed very little from 1985-86 to 1990-91. The proportion of Chapter 1 students in the least poor districts increased by 2 percent, while those in the next poorest quartile decreased by the same amount. Overall enrollment in the least poor districts increased by 4 percent and decreased by 3 percent in the next least poor category.

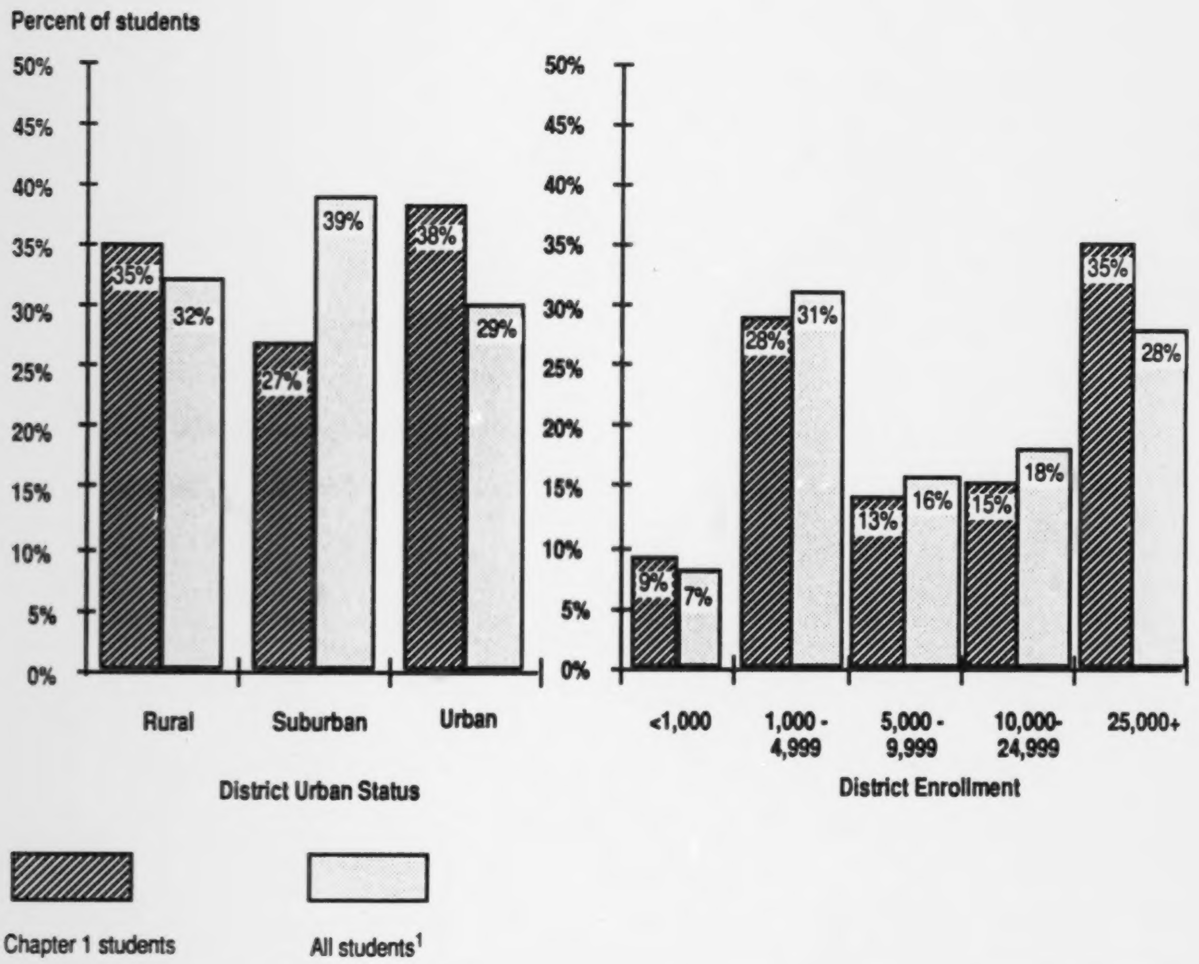
The majority (53 percent) of Chapter 1 students attending private schools are in districts in the highest poverty quartile (21-100 percent poor), followed by 23 percent in the next quartile. Another 13 percent are found in the second lowest poverty quartile, and only 11 percent are in the lowest poverty quartile.

Chapter 1 Instructional Areas

Although Chapter 1 continues its focus on supplemental reading instruction in the elementary grades, mathematics instruction is also substantial. As shown in Exhibit 1.5, 92 percent of districts offer reading in elementary grades, and 66 percent offer mathematics. At the middle school and junior high school levels, reading and mathematics are offered in almost the same proportions of school districts (41 percent and 35 percent, respectively). Similarly,

Exhibit 1.3

Distribution of Chapter 1 Public School Students in Relation to All Students[1] by District Urban Status and by District Enrollment 1990-91



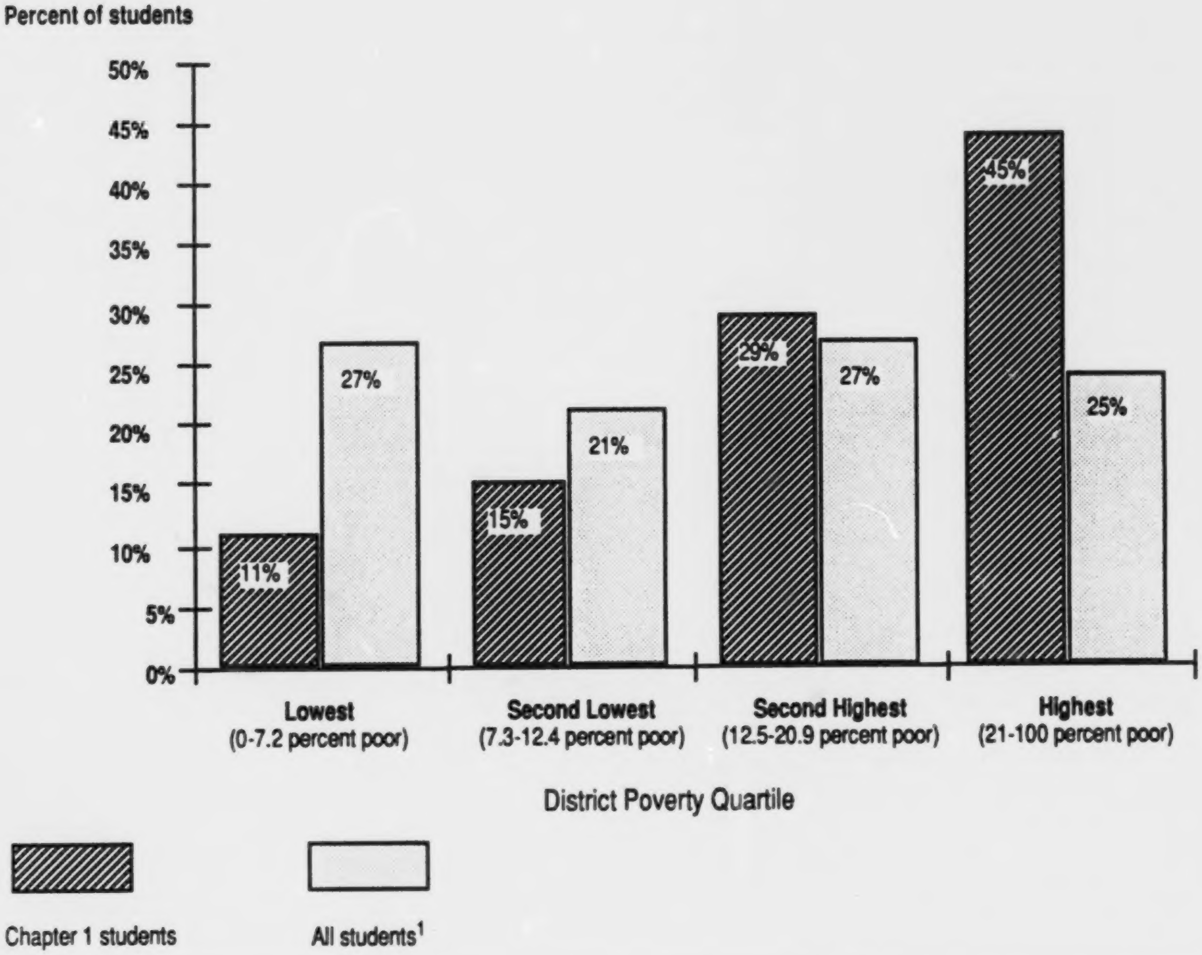
Sources: District Survey of Chapter 1 Implementation, 1990.

[1] "All students" refers to all students residing in Chapter 1 districts. The 10 percent of districts that do not receive Chapter 1 funds are predominantly very small districts and are not included here.

Figure reads: Of all Chapter 1 public school students in the nation, 35 percent reside in rural districts. Of all public school students, 32 percent reside in rural districts. Of all Chapter 1 public school students in the nation, 9 percent reside in districts with enrollments of fewer than 1,000 students. Of all public school students, 7 percent reside in districts with enrollments of fewer than 1,000 students.

Exhibit 1.4

Distribution of Chapter 1 Public School Students in Relation to All Students[1], by District Poverty Quartile 1990-91



Sources: District Survey of Chapter 1 Implementation, 1990. Poverty measure is the Orshansky index of poverty.

[1] "All students" refers to all students residing in Chapter 1 districts. The 10 percent of districts that do not receive Chapter 1 funds are predominantly very small districts and are not included here.

Figure reads: Of all Chapter 1 public school students in the nation, 11 percent are in districts in the lowest poverty quartile. Of all public school students, 27 percent are in districts in the lowest poverty quartile.

Exhibit 1.5

CHAPTER 1 OFFERINGS BY SUBJECT AREA AND GRADES

For the school year 1990-91, please indicate which grades are included and which Chapter 1 subject areas are offered.

	Subject Areas			
Grade Levels	Reading	Language Arts	Mathematics	Other
Elementary Grades	92%	30%	66%	3%
Middle/Junior High School Grades	41	27	35	2
Senior High School Grades	14	11	10	1

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[1] Weighted base N is 14,868, with an item nonresponse of 0 percent.

Note: Some 68 percent of the districts reported offering both reading/language arts and math. The proportion of districts offering only reading/language arts is 31 percent; the proportion offering only math is 1 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

where high school programs are offered, similar proportions offer reading and mathematics (14 percent and 10 percent, respectively).

Language arts instruction is offered in fewer districts than either reading or math. Thirty percent of districts support language arts in elementary grades, 27 percent of districts in middle or junior high school, and 11 percent of districts in high school.

District coordinators reported a modest change from 1985-86 to 1990-91 in the number of instructional areas offered. Twenty-three percent of districts reported that they now serve a larger number of instructional areas; 11 percent reported they concentrate on fewer areas; and 66 percent reported no change.

Chapter 1 Program Design

The design of the Chapter 1 instructional program lies within the province of local decision makers, provided that the design meets the fiscal requirements that Chapter 1 program funds supplement but not supplant funds from non-federal sources. Among the acceptable program designs described in U.S. Department of Education guidance are limited pullout, in-class, extended pullout, replacement, and add-on models. As shown below, each is defined by its fiscal properties:

- A **limited pullout** project provides Chapter 1 services in a different setting or a different time than would be the case if the children were not participating in Chapter 1. Services do not exceed 25 percent of the time that a child would, in the absence of Chapter 1 funds, receive instruction in that subject matter.

- An **in-class** project provides instruction in the same setting and within the same time period that children would have received instruction were they not participating in Chapter 1.

- An **extended pullout or replacement project** provides Chapter 1 services for a period of time that exceeds 25 percent of time that a participating child would, in the absence of Chapter 1 funds, spend receiving instructional services.

- An **add-on** project provides Chapter 1 services at times that participants would not be receiving state or locally funded instructional services.

Most district Chapter 1 coordinators offer the traditional program designs of limited pullout and in-class instruction. Eighty-two percent of districts offered limited pullout programs in 1990-91, and 62 percent of districts offered in-class instruction (Exhibit 1.6). Almost one-fourth of districts said that they offered extended pullout programs, and 12 percent offered replacement projects.

Districts also reported using add-on options. Nine percent of the districts reported offering add-on projects during the regular school year and 11 percent reported summer add-on projects. Furthermore, 10 percent of districts reported offering preschool or kindergarten projects, and 4 percent offer schoolwide projects.

District size is related to the choice of program design. The largest districts are much more likely than smaller districts to offer a variety of program designs. Among the districts enrolling 25,000 or more students, for example, the front runner is limited pullout programs (87 percent of districts), followed by in-class (81 percent), pre-K and Kindergarten (49 percent), add-on (40 percent), schoolwide projects (38 percent), replacement (31 percent) and extended pullout (28 percent). Furthermore, while at least three-fourths of districts in each size category offer limited pullout programs and one-half offer in-class projects, other program designs are usually found in fewer than one in 10 small districts (enrolling fewer than 1,000 students).

Similarly, more districts in the higher poverty quartiles than in the lower poverty quartiles are likely to offer different program designs, but the pattern is not as marked as the pattern by district size. The most consistent patterns are found for schoolwide projects (found in 12 percent of the highest poverty quartile districts but in only .2 percent of the lowest poverty quartile districts) and for Chapter 1 at the pre-Kindergarten or Kindergarten level (found in 23 percent of the highest poverty quartile districts but in only 3 percent of the lowest poverty quartile districts).

Schoolwide projects are discussed in more detail in Chapter Three, while changes in program design and factors influencing design change are discussed in Chapter Five. The 1991-92 Chapter 1 school surveys will provide national estimates on the number of schools offering different Chapter 1 program models.

Exhibit 1.6

PROPORTION OF DISTRICTS OFFERING TYPES OF CHAPTER 1 PROJECTS, 1990-91

	Percent of Districts[1] 1990-91
Limited pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that does not exceed 25% of the total instructional time in that subject matter)	82%
In-class projects (Students receive Chapter 1) instruction in regular classroom)	62
Extended pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that exceeds 25% of the total instructional time in that subject matter)	24
Replacement projects (Chapter 1 students receive services that replace all or part of their regular instruction, and Chapter 1 is a self-contained part of this program)	12
Summer add-on projects (Students receive Chapter 1 instruction during a summer session)	11
Preschool or Kindergarten (Chapter 1 students receive pre-school programs or are provided a full-day Kindergarten (rather than the standard half-day)	10
Add-on projects during the regular school year (Students receive Chapter 1 instruction before or after school or on weekends)	9
Schoolwide projects (in attendance areas where at least 75% of the students are from low income families, Chapter 1 funds are used to upgrade the entire educational program)	4

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[1] The totals add to more than 100 percent because districts checked more than one item. The weighted base N for the second column is 14,867, for an item nonresponse of 0 percent. The source is the District Survey of Chapter 1 Implementation, 1990.

Instructional Time in Chapter 1

To ensure the effectiveness of Chapter 1 instruction, programs are to be of sufficient size, scope and quality. Two measures frequently used are the amount of instructional time and the number of students per class. District Chapter 1 Coordinators were asked to estimate the amount of instructional time provided in Chapter 1 reading and mathematics programs in the elementary grades, with separate breakdowns for in-class and limited pullout programs. Their estimates, summarized in Exhibit 1.7, are probably a better measure of instructional time of the Chapter 1 program as designed, than as a measure of actual minutes of direct instruction. The median minutes per week range from 120 to 150 minutes (or 24 to 30 minutes a day five days a week). The median minutes for mathematics are slightly lower than for reading.

Thirty percent of the districts reported that the amount of instructional time per student had increased, a substantially higher figure than the 9 percent who reported more instructional time in 1985-86. However, most districts (60 percent) noted no change over time. The survey findings are about five minutes a day less than the medians of 30 and 35 minutes a day (for mathematics and reading, respectively) that were estimated by Chapter 1 teachers in the earlier National Assessment of Chapter 1 (The Current Operation of the Chapter 1 Program, 1987, p. 68).

In 1990-91, district Chapter 1 coordinators estimated that the median number of students served in both in-class and limited pullout settings was four, a decrease from a median of five students estimated by Chapter 1 teachers for the 1985-86 year. The median number of students was the same for reading and mathematics instruction.

CHAPTER 1 STAFF

Chapter 1 Administrative Staff

According to the District Survey of Chapter 1 Coordinators, the median number of years that coordinators have served in that capacity is 6.0 years (Exhibit 1.8). Approximately one-third of respondents report that they have been in their current positions for three or fewer years; with the other two-thirds having four or more years experience. Nearly 10 percent have served for 20 or more years as coordinators of Chapter 1 programs.

Exhibit 1.7

DISTRICT REPORTS OF INSTRUCTIONAL TIME AND CLASS SIZE FOR CHAPTER 1 PROGRAMS

For the school year 1990-91, record the program settings, instructional times and class sizes for your Chapter 1 supplementary reading/language arts program and math program in elementary grades in public schools.

Chapter 1 Program Setting	Minutes of Instruction per Week[3]		Number of Children per Chapter 1 Instructor for Each Instructional Period	
	Mean	Median	Mean	Median
Reading/Language Arts[1]				
In-class	166	135	6.1	4.0
Limited pullout	154	150	5.0	4.0
Mathematics[2]				
In-class	148	120	5.7	4.0
Limited pullout	137	125	4.7	4.0

---

[1] The weighted base N for reading/language arts in-class model is 6,019 districts. For the limited pullout model, the weighted base N is 8,825 districts. The non-response rates for these items cannot be calculated.

[2] The weighted base N for the mathematics in-class model is 4,913 districts. For the limited pullout model, the weighted base N is 6,033 districts.

[3] Because many districts appeared to have reported minutes of instruction per day rather than per week, we multiplied by five all estimates of fewer than 60 minutes per week. Approximately 10 percent of respondents were in this category.

[4] The category of Chapter 1 instructor includes both teachers and aides.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 1.8

TENURE OF CHAPTER 1 COORDINATORS (YEARS)

As of the fall of 1990, how long have you been a director of Chapter 1 or Title 1 programs in this district?

Number of Years as Directors	Number of Coordinators	Percent of Coordinators
1	1,890	15%
2	1,276	10
3	1,074	9
4 - 5	1,882	14
6 - 10	2,453	19
11 - 15	2,248	18
16 - 20	620	5
20 or more	1,182	9
Total	12,625	100%

Median is 6.0 years.

Weighted base N is 12,625. The nonresponse rate is 8 percent. This item was asked only on the mail survey.

Source: District Survey of Chapter 1 Implementation, 1990.

The district Chapter 1 coordinator position is typically a part-time job. Some coordinators are responsible for administration of Chapter 1 as well as other federal or state programs; others also serve as principals and teachers. Across all districts, nearly 55 percent of coordinators spend no more than 10 percent of their time on Chapter 1, while only 9 percent spend 76 percent or more of their time on Chapter 1 (Exhibit 1.9). Coordinators in larger districts (enrollment of 10,000 or more students) are 11 times more likely to report that they spend 76 percent or more time on Chapter 1 than are their colleagues in smaller districts (enrollment of fewer than 1,000 students). Coordinators in smaller districts are more likely than their large-district counterparts to spend 25 percent or less of their time on Chapter 1.

The amount of time spent on Chapter 1 administration is a direct function of the size of the Chapter 1 grant. Eighty percent of the coordinators in districts that receive median-level grants ($81,164) or less spend no more than 10 percent of their time on Chapter 1, while 73 percent of the district coordinators with grants in the third quartile (between $91,165 and $197,838) spend no more than 25 percent of their time on Chapter 1. Only Chapter 1 coordinators in the 25 percent of districts with the largest grants (more than $197,838) spend considerable time on Chapter 1. More than 40 percent of these coordinators spend more than half of their time on Chapter 1, including 27 percent who spend more than three-quarters of their time administering the program.

When Chapter 1 coordinators were asked how all of the district's non-teaching Chapter 1 staff spend their time, the largest amount of time (23 percent) was reportedly spent on providing support to their instructional staff (Exhibit 1.10). Some 15 percent of time is spent on local Chapter 1 application preparation or record keeping. The same proportions of time are spent on evaluation, parent involvement, and improving coordination between Chapter 1 and the regular school program (9, 8, and 9 percent respectively). Only 5 percent of the time is reportedly spent on monitoring schools for compliance, and only 4 percent time on interacting with SEA Chapter 1 staff. Across all districts, the amount of administrative time spent on schools in need of improvement is 2 percent. Among districts with schools in need of improvement, the average percent of time spent is 5 percent; among districts without schools in need of improvement, the amount drops to 1 percent, time probably spent in defining and applying desired outcomes.

Exhibit 1.9

PERCENT OF TIME CHAPTER 1 COORDINATORS SPEND ON CHAPTER 1, BY DISTRICT ENROLLMENT SIZE

	Percent of Districts[1]			
Percent of Time Spent by District Coordinator	**Across All Districts**	**In Smaller Districts (<1000 enrolled)**	**In Middle Sized Districts (1,000-9,999)**	**In Larger Districts (>10,000 enrolled)**
1 - 10 %	55%	74%	37%	6%
11 - 25	19	15	25	13
26 - 50	11	5	17	26
51 - 75	6	2	9	14
76 - 100	9	4	12	42

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[1] Weighted base N is 13,577. The nonresponse rate is 1 percent.

Figure reads: Across all districts, 55 percent of Chapter 1 Coordinators reported spending not more than 10 percent of their time administering Chapter 1.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 1.10

DISTRICT REPORTS OF HOW TIME IS SPENT ON CHAPTER 1 ADMINISTRATION

Taking all of the district's non-teaching Chapter 1 staff into consideration, how do they spend their time across different activities related to the Chapter 1 basic grants program?

	Percent of Time[1]
Providing support to Chapter 1 instructional staff	23%
Preparing local applications	15
Recordkeeping	15
Evaluation	9
Parent involvement	8
Improving coordination between Chapter 1 and the regular school program	9
Monitoring schools for compliance	5
Program improvement activities not related to schools in need of improvement	4
Interacting with the State Chapter 1 office	4
Comparability computations	3
Schools in need of improvement	2[2]
Other	2
Total	100%

---

[1] Weighted base N is 9,701. The nonresponse rate is 29 percent.

[2] Districts with schools in need of improvement reported spending 5 percent of their time on this activity, compared to one percent of time spent by districts without such schools.

This item was asked only on the mail survey.

Source: District Survey of Chapter 1 Implementation, 1990.

The proportion of time spent on specific administrative tasks varies little by size of district. The three exceptions are preparing local applications, monitoring, and parent involvement. The proportion of time spent on preparing local applications is inversely related to district size; that is the smaller the district, the larger the proportion of time spent on preparation. The range is 16 percent for small districts (1,000 to 2,500 students) to 8 percent for the largest districts (enrolling more than 25,000 students). The proportion of time spent monitoring schools for compliance is directly related to district size; that is, the larger the district, the larger the proportion of time spent on monitoring. In the largest districts (more than 25,000 students), the percent of time reported was 10 percent; while in the smaller districts (1,000 to 2,500 students), the proportion was 4 percent. Lastly, the larger the district the larger the proportion of time spent on parent involvement activities. The largest districts report spending 11 percent of their time on it, compared to 7 percent of the smaller districts (1,000 to 2,500 students).

Chapter 1 Instructional Staff

Across all districts, some 62,452 full-time equivalent (FTE) Chapter 1 teachers and 67,245 FTE Chapter 1 aides and other paraprofessionals comprise the Chapter 1 instructional staff (Exhibit 1.11). The total number of Chapter 1 teachers is 79,067, while the total number of Chapter 1 aides is somewhat larger at 91,246.

The number of Chapter 1 teachers varies considerably across districts, according to the number of students enrolled and other district policies. Some districts use only teachers; others use teachers and instructional aides; and some do not use teachers at all. In fact, an estimated 1,379 districts (almost 10 percent) do not use certified teachers. The median number of teachers across all districts (regardless of size) is 2, while the mean number of teachers is nearly 6 (Exhibit 1.12). The average number of Chapter 1 teachers in the largest districts (with enrollment of 25,000 or more students) is 105, while the mean number of teachers in the smaller districts (enrollment fewer than 1,000 students) is 2.

Exhibit 1.12 also presents data on the number of full-time equivalent (FTE) teaching positions by district size. The median of 2 FTEs is the same as the median for the actual number of Chapter 1 teachers, while the mean of 5 FTEs is lower than the mean number (6) of

Exhibit 1.11

FULL-TIME EQUIVALENTS OF CHAPTER 1 TEACHERS AND AIDES, BY DISTRICT ENROLLMENT SIZE

Total District Enrollment	**Number of FTE Chapter 1 Teachers**[1]	**Number of FTE Chapter 1 Aides**[2]
All districts	62,452	67,245
25,000 students or more	14,468	21,830
10,000 to 24,999 students	8,577	10,578
5,000 to 9,999 students	9,398	7,551
2,500 to 4,999 students	11,440	10,038
1,000 to 2,499 students	10,210	9,745
Less than 1,000 students	8,359	7,503

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[1] Weighted base N of school districts is 13,000; the nonresponse rate is 4 percent. 1,378 districts do not use teachers.

[2] Weighted base N of school districts is 7,761; the nonresponse rate is 5 percent. 6,756 districts do not use aides in the Chapter 1 instructional program.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 1.12

MEAN AND MEDIAN NUMBER OF CHAPTER 1 TEACHERS, IN DISTRICTS EMPLOYING TEACHERS, BY DISTRICT ENROLLMENT SIZE

Total District Enrollment	Number of Teachers[1]		Number of FTE Teachers	
	Median	Mean	Median	Mean
All districts	2	6	2	5
25,000 students or more	53	105	51	88
10,000 to 24,999 students	15	23	13	19
5,000 to 9,999 students	11	13	9	11
2,500 to 4,999 students	6	8	5	6
1,000 to 2,499 students	3	4	2	3
Less than 1,000 students	1	2	1	1

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[1] Weighted base N is 13,000; the nonresponse rate is 4 percent. 1,379 districts do not use teachers.

Figure reads: Two is the median number of Chapter 1 teachers in districts that use teachers for Chapter 1 instruction.

Source: District Survey of Chapter 1 Implementation, 1990.

Note: Across all districts the mean number of FTE teachers in those districts that used teachers in SY 1985-86 was 4.4. (Source: NIE Chapter 1 District Survey, 1985-86).

certified teachers. It appears from these data that Chapter 1 teachers usually are full-time personnel. The mean FTE of 5 teachers for school year 1990-91 is higher than the 4.4 mean FTEs reported for the National Assessment for school year 1985-86. The increase in the number of teachers may well reflect increased appropriations for Chapter 1 over the five years. It represents about a 3 percent annual growth rate, somewhat less than the 4 percent rate for the most recent year in the state performance report.[2]

Nearly two-thirds of all districts use instructional aides in their Chapter 1 programs. In those districts, the median number of aides is 4, and the mean is 12 (Exhibit 1.13). The mean number of 9 FTE aides, however, is somewhat lower than the mean number of aides, indicating that aides are less likely to have full-time positions. The average number of Chapter 1 aides in the largest districts (with enrollment of 25,000 or more student) is 207, while the mean number of aides in the smaller districts (enrollment less than 1,000 students) is 3.

The mean number of FTE Chapter 1 aides in 1990-91 of 9 aides is considerably larger than the 4.3 FTE aides reported in 1985-86 for districts using aides. As with increases in the number of FTE Chapter 1 teachers for districts using teachers, this change may reflect the increased appropriations for Chapter 1 during this time period. The percent increase in teacher aides in districts using aides is larger than the overall percent increase in aides compiled from annual state Chapter 1 performance reports from 1978-88 to 1988-89.

Chapter 1 aides have both instructional and non-instructional responsibilities (Exhibit 1.14). Just over three-fifths (63 percent) of districts reported that aides provide instruction when supervised by a Chapter 1 teacher, a drop from 71 percent of districts in 1985-86. Just over half (54 percent) of districts reported that aides provided instruction when supervised by a regular classroom teacher, a modest increase over the 46 percent of districts reporting this in 1985-86.

A perplexing finding on supervision of Chapter 1 aides is the report from 20 percent of the school districts employing Chapter 1 aides that Chapter 1 instructional aides are not supervised by certified teachers. We note this finding because Chapter 1 aides are to be

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[2] Westat, 1991. A Summary of State Chapter 1 Participation and Achievement Information for 1988-89. The rate of growth in FTE teachers from 1987-88 to 1988-89 was 4 percent.

Exhibit 1.13

MEAN AND MEDIAN NUMBER OF CHAPTER 1 AIDES AND PARAPROFESSIONALS IN DISTRICTS USING AIDES, BY DISTRICT ENROLLMENT SIZE

Total District Enrollment	Number of Aides[1]		Number of FTE Aides	
	Median	Mean	Median	Mean
All districts	4	12	3	9
25,000 students or more	58	107	49	142
10,000 to 24,999 students	21	34	16	26
5,000 to 9,999 students	12	18	9	13
2,500 to 4,999 students	7	11	5	8
1,000 to 2,499 students	3	5	3	4
Less than 1,000 students	2	3	1	2

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[1] Weighted base N is 7,761; the nonresponse rate is 5 percent. 6,756 districts do not use aides in the Chapter 1 instructional program.

Figure reads: Four is the median number of Chapter 1 aides in districts that use aides for instruction.

Source: District Survey of Chapter 1 Implementation, 1990.

Note: Across all districts with aides, the mean number of FTE aides in SY 1985-86 was 4.3. Forty percent of districts had no aides during that year. (Source: NIE Chapter 1 District Survey, 1985-86).

Exhibit 1.14

HOW ARE AIDES AND PARAPROFESSIONALS USED IN CHAPTER 1 PROGRAMS FOR INSTRUCTIONAL AND NON-INSTRUCTIONAL PURPOSES?

During the school years 1985-86 and 1990-91, how were aides or paraprofessionals used in your Chapter 1 program?

	Percent of Districts[1] 1985-86[2]	Percent of Districts[1] 1990-91
We don't use aides	40%	37%
Instruction		
Aides provide instruction:		
When supervised by a Chapter 1 teacher	71	63
When supervised by a regular classroom teacher	46	54
On their own, without supervision of a Chapter 1 or regular school teacher	7	20
Non-Instruction		
They perform CAI program maintenance or other computer-related tasks	NA	27
They conduct home visits or other activities in parent involvement	NA	16

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[1] The totals in columns 1 and 2 exceed 100% because districts marked more than one response. The weighted base N for the first item in column 2 is 14,301 and the item nonresponse rate is 4 percent. For all other items in column 2, the weighted base N is 8,976. The source for column 2 is the District Survey of Chapter 1 Implementation, 1990.

[2] Questions on non-instruction in SY 1985-86 were not comparable to questions asked in the 1990-91 survey. The weighted base N and nonresponse rate are unavailable. Source: NIE Chapter 1 District Survey, 1985-86.

supervised. Whether aides are unsupervised appears to be a function of district size and poverty. Twenty-two percent of the smaller districts (fewer than 2,500 students) reported unsupervised aides, compared to 10 percent of the largest districts (25,000 or more students). Similarly, 30 percent of districts in the lowest poverty quartile who employed aides noted that they were unsupervised, compared to 10 percent of the districts in the highest poverty quartile. It is also possible that the item was marked because it was the first item in a string of items. Seventy-six percent of districts with Chapter 1 instructional aides marked this item as well as another item, noting that aides were supervised.

More than one-quarter (27 percent) of districts report that aides handle computer-assisted instruction (CAI) program maintenance or other computer-related tasks, and 16 percent of districts reported that aides conducted home visits or other parent involvement activities. Unfortunately, data on these items are not available for the 1985-86 school year.

Not all districts choose to employ aides to provide instruction in their Chapter 1 programs. Across all districts, 37 percent *do not* use aides (Exhibit 1.15). Employment of aides is very much a function of district size. Only 5 percent of the largest (enrollment of 25,000 or more students) districts *do not* use aides, while 47 percent of the smallest (enrollment fewer than 1,000 students) districts do not use aides. Larger districts typically have larger numbers of Chapter 1-eligible students to be served, and for many districts, that need translates into a policy of hiring Chapter 1 aides.

Survey results indicate that Chapter 1 programs are reconsidering how they use Chapter 1 teachers and aides. Almost a quarter of districts reported that the proportion of instructional staff who are teachers rather than aides increased from 1985-86 to 1990-91, while another quarter reported the reverse -- that the proportion of teachers to aides had decreased.

The on-site work in states and school districts, however, reflects little change in types of instructional personnel employed. In only two of the nine states visited did state Chapter 1 coordinators make explicit reference to changing service delivery staff. They hoped to be able to move toward using teachers rather than aides, because they thought the payoffs of quality instruction by professional teachers were higher. Among the districts visited, three had moved from using instructional aides to using only certified teachers. None had replaced teachers with

Exhibit 1.15

PERCENT OF DISTRICTS *NOT* USING CHAPTER 1 AIDES OR PARAPROFESSIONALS, BY DISTRICT ENROLLMENT SIZE

Total District Enrollment	**Percent of Districts[1]**
All districts	37%
25,000 students or more	5
10,000 to 24,999 students	12
5,000 to 9,999 students	29
2,500 to 4,999 students	33
1,000 to 2,499 students	28
Fewer than 1,000 students	47

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[1] Weighted base N is 14,400. The nonresponse rate is 3 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

aides, but four districts had invested heavily in computer laboratories, where the number of students to instructional staff can be increased.

One instructional item new with the Hawkins-Stafford Amendments concerned whether and how often Chapter 1 staff may spend time on non-instructional duties. Just over half (56 percent) of the districts reported that Chapter 1 staff may spend the same proportion of their time as non-Chapter-1 staff at the same school (Exhibit 1.16). Over one-third (35 percent) of districts reported that their Chapter 1 personnel are never assigned non-Chapter-1 responsibilities. Just a few districts (7 and 6 percent, respectively) reported that Chapter 1 personnel may spend up to one period a day or 60 minutes a day on non-Chapter 1 duties.

DISTRICT CHAPTER 1 PROJECTED EXPENDITURES

Across all districts, the estimated average annual Chapter 1 expenditures for districts is $288,226, the largest portion (55 percent) of which is spent on teachers' salaries (Exhibit 1.17). Salaries for instructional aides represent, on average, an additional 17 percent of the budget. Taken together, salaries for instructional personnel represent 72 percent of the budget. Projected expenditures for all other salaried personnel represent 11 percent of the budget, with materials and all other expenses at 8 percent and 9 percent, respectively.

Average and median projected expenditures were also calculated by category for those districts with projected expenditures in that category (Exhibit 1.18). Nearly all districts (97 percent) report spending money for teachers' salaries--either classroom teachers or specialists, and 49 percent report spending money for instructional aides' salaries. Forty percent of districts report that they spend money for district administrators' salaries. The average projected expenditures are much larger than median projected expenditures because some very large districts anticipate expenditures in the millions. For example, the 10 largest expenditure estimates ranged from $17 million to $100 million.

For the 1990-91 year, half of the school districts reported projected expenditures (including concentration grants) for Chapter 1 of at least $81,200. Twenty-five percent of school districts reported projected expenditures of no more than $33,600; while another 25 percent reported expenditures in excess of $197,800. Estimated per pupil expenditures in Chapter 1 for the 1990-91 school year have a mean between $875 and $900 per student, while

Exhibit 1.16

CHAPTER 1 STAFF TIME SPENT ON NON-CHAPTER 1 DUTIES

On what basis do you decide how much time Chapter 1 personnel may spend on non-Chapter 1 duties (e.g., lunchroom supervision)?

Amount of Time	Percent of Time[1]
Chapter 1 personnel may spend the same proportion of their time as similarly situated non-Chapter 1 personnel at the same school	56%
These duties are *never* assigned to Chapter 1 personnel	35
Chapter 1 personnel may spend up to one period per day on these duties	7
Chapter 1 personnel may spend up to 60 minutes per day on these duties	6

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[1] The total adds to more than 100 percent because respondents chose multiple answers. Weighted base N is 13,257. The nonresponse rate is 3 percent. The item was asked only of those districts completing the mail survey.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 1.17

PROJECTED AVERAGE CHAPTER 1 EXPENDITURES, ACROSS ALL DISTRICTS BY CATEGORY, 1990-91

Of the 1990-91 Chapter 1 budget, estimate how much will be spent for each of the following categories. Salaries include both salaries and benefits.

	Average*	Average %
Salaries for teachers (classroom, specialists)	$158,081.00	55%
Salaries for instructional aides	48,368.00	17
Salaries for administrators (including district staff)	11,506.00	4
Salaries for other certified personnel (e.g. counselors)	7,833.00	3
Salaries for non-certified personnel (e.g., clerical staff)	6,661.00	2
Other Salaries	5,913.00	2
Materials, equipment, and supplies	22,486.00	8
All other (e.g., fixed charges, indirect costs)	27,379.00	9
Total	$288,226.00	100

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*The average includes districts where no money was spent on the item.

Weighted base N is 12,388. Item nonresponse is 9 percent. This item was asked only on the mail survey.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 1.18

PROJECTED AVERAGE AND MEDIAN CHAPTER 1 EXPENDITURES, BY CATEGORY, FOR DISTRICTS WITH EXPENDITURES, 1990-91

Of the 1990-91 Chapter 1 budget, estimate how much will be spent for each of the following categories. Salaries include both salaries and benefits.

	Average*	Median*	Percent of Districts Spending Any Money on This Item
Salaries for teachers (classroom, specialists)	$158,173.00	$49,746.00	97%
Salaries for administrators (including district staff)	28,469.00	11,234.00	40
Salaries for other certified personnel (e.g. counselors)	68,372.00	22,131.00	11
Salaries for instructional aides	98,030.00	31,200.00	49
Salaries for non-certified personnel (e.g., clerical staff)	21,107.00	8,000.00	32
Other Salaries	45,115.00	3,000.00	13
Materials, equipment, and supplies	34,195.00	6,852.00	66
All other (e.g., fixed charges, indirect costs)	41,203.00	6,375.00	66

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*Both the average and median include only districts where some money was spent on the item.

Weighted base N is 12,388. Item nonresponse is 9 percent. This item was asked only on the mail survey.

Source: District Survey of Chapter 1 Implementation, 1990.

the median is somewhat lower, between $800 and $825 per student. Mean per pupil expenditures vary with the size of school district. The largest districts (with at least 25,000 students) have projected expenditures per student of just over $1,100, while the smallest districts (with less than 1,000 students) have projected expenditures per student of just over $800.

The Chapter 1 program is a significant educational supplement in the nation's schools. How districts and schools have responded to the latest set of amendments to Chapter 1 is examined in the following chapters.

CHAPTER TWO

PROGRAM IMPROVEMENT

OVERVIEW

The Hawkins-Stafford Amendments resulted from dissatisfaction with the progress of students in Chapter 1 and the failure of schools to operate and maintain programs that improved achievement among the lowest achieving students. They gave schools and districts powerful tools for making changes within the Chapter 1 program. At the same time, the amendments, served notice that schools, districts, and states would be held accountable for the progress of Chapter 1 students.

Under the program improvement and accountability provisions outlined in the law:

- The quality of school performance for Chapter 1 students is to be defined and measured.
- Districts are to intervene to upgrade performance in those schools in need of improvement.
- States are to be involved through the design and implementation of a joint state/district school improvement plan for schools continuing to show no improvement after district intervention. States have a continuing oversight role until the school building Chapter 1 program improves.
- Furthermore, Chapter 1 students who have not shown progress are to be identified. If after two years these students still have not improved, the district must conduct a needs assessment and revise services, as appropriate.

In defining the quality of school performance, the Congress intended that Chapter 1 students should progress at a faster rate than students who receive no extra help. Subsequent U.S. Department of Education (ED) regulations operationally defined the minimum level of adequate school performance as Chapter 1 students showing a normal curve equivalent (NCE) gain greater than zero. Schools with no gain or a loss in either basic or more advanced skills must begin program improvement activities. In addition to requiring minimal performance standards, the Congress also urged districts to adopt other measures, not dependent upon norm-referenced tests, to measure school performance. For each measure identified, schools that were not showing substantial progress were also to initiate improvement activities.

Over the past two years, almost 4,000 school districts (27 percent of all school districts with Chapter 1 programs) have had at least one school identified as in need of improvement. Over 10,000 schools have been identified.

Information gathered during our site work in 27 school districts leads us to conclude that the program improvement process has great potential for focusing corrective action in poorly performing schools. When districts and schools believe that the designation of needing improvement is accurate, activities are typically undertaken. Nevertheless, only a few districts have realized the full potential of the school improvement provisions as leverage for changing programs. Many more have become immersed in the issues of identification and implementation; this situation has postponed and diluted the impact of program improvement.

Major findings from the national survey of district Chapter 1 coordinators include:

- Both states and districts participated in developing of desired outcomes. Fifty-five percent of districts developed desired outcomes on their own, while 45 percent of districts adopted only what was required or recommended by the state.

- The aggregate performance measure of an NCE gain greater than zero is used by 90 percent of the districts as a desired outcome. However, 80 percent of the districts use other measures as desired outcomes, including sustained effects (41 percent of districts); a minimum percentile on a standardized test (35 percent); and teacher checklists (35 percent).

- In defining desired outcomes, one-third of districts used only measures derived from norm-referenced tests, while 65 percent reported using other instruments in conjunction with norm-referenced tests.

- Among districts with schools identified as in need of improvement, only 27 percent rated the accuracy of the identification process as "good," 41 percent rated the process "fair," and 32 percent rated the process "poor."

- Schools in need of improvement are fairly evenly distributed across school districts of different sizes, with the largest districts (enrollments of at least 25,000) having a slightly higher proportion of schools in need of improvement (21 percent of the total) than of Chapter 1 schools (15 percent of the total).

- High poverty districts (more than 21 percent poverty) have a much higher proportion of schools in need of improvement (43 percent of the total) relative to all Chapter 1 schools in those districts (28 percent of the total).

- Schools implementing school improvement plans are following the maximum time schedule allowed. Most schools identified on the basis of data from 1988-89 are fully implementing plans (or are no longer in program improvement), while those identified from 1989-90 data are either planning or partially implementing plans. No schools in 1990-91 had begun the joint state/district improvement process.

- Virtually all district coordinators noted that technical assistance was provided to schools in need of improvement. The most frequently cited sources of assistance were district and state Chapter 1 offices.

- Few districts have received program improvement funds from their state offices; and grants, when awarded, are quite small. Median grant awards in 1989-90 and in 1990-91 were $1,000 and $2,000, respectively. About one-third of the districts are putting part of their Chapter 1 Basic Grant into program improvement activities.

- Districts have done little to assess the needs of Chapter 1 students who have been in the program for two consecutive years and have not shown gains. Less than 30 percent of the districts have completed procedures.

The site visits produced other related findings:

- School improvement activities undertaken depend in large measure on whether districts perceived that the identification process was accurate. In about two-thirds of the districts visited, schools undertook planning activities and about two-fifths initiated activities to improve the school and its program. Among the most common activities undertaken were staff development, increased parent involvement, changes in the Chapter 1 instructional model, and computer installation. A few districts focused on the identifying mechanism rather than the program, and a few others undertook no activities.

- A central issue for implementing program improvement plans is a lack of faith in the accuracy of the identification process. Included are concerns about the meaning and reliability of NCE gains as indicators of program quality, especially since NCE gains are a mandated measure; the need to fine tune other measures used as desired outcomes; and limited evaluation expertise in school districts to identify and apply measures.

- Two other issues of concern are problems that resist program improvement (such as the effects of pervasive poverty and high mobility), and uncertainties about the upcoming state role in school improvement activities.

This chapter examines the process of defining measures of school quality, identification of schools, activities undertaken to improve programs, resources used to assist in the improvement process, and continuing issues in program improvement. The discussion of student program improvement closes out the chapter.

DEFINING MEASURES OF SCHOOL QUALITY

In defining desired outcomes, Congress and the federal government urged that multiple measures be used, in addition to the required aggregate student performance. By focusing on "improvement" rather than "achievement," Congress intended that measures and standards used to demonstrate progress toward desired outcomes may be something other than normed standardized test scores. By the beginning of the second year of Hawkins-Stafford implementation, the measures to assess the quality of school performance were well known. State Chapter 1 offices had developed state program improvement plans in conjunction with their newly-formed Committees of Practitioners. States had passed on to districts measures of the quality of school performance, using the minimum federal requirement of a normal curve equivalent (NCE) gain greater than zero or additional requirements and recommendations. Districts in turn had accepted required measures and, in many instances, had developed their own as well.

According to the national survey of district Chapter 1 coordinators, 45 percent of the districts adopted some suggestions for desired outcomes from the state and also developed some of their own. Another 45 percent of districts adopted only what was required or recommended by the state and did not develop their own desired outcomes. The remaining 10 percent of districts reported adopting only desired outcomes that they established themselves (Exhibit 2.1).

An influential state role in defining desired outcomes was evident in our site visits in nine states and 27 school districts (three in each state). In most districts visited, the district followed the state's lead. If the state required desired outcomes (as was true in four of the nine states visited), districts of course complied. On the other hand, if the state posed no requirements or urged districts to set "realistic" goals (as was the case in three states visited), districts usually

Exhibit 2.1

ESTABLISHING DESIRED OUTCOMES

Did the school district establish desired outcomes for children participating in the Chapter 1 project?

	Percent of Districts[1]
We adopted some of the desired outcomes suggested by the state and developed some of our own that we use.	45%
We adopted only the desired outcomes *required* by the state.	33
We adopted only the desired outcomes *suggested* by the state.	12
We adopted only the desired outcomes that we established ourselves.	10
Total	100%

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[1] Weighted base N is 14,672. Nonresponse rate is 2 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

did not adopt desired outcomes and applied only an NCE gain. Within these states, some district Chapter 1 coordinators, who had thoughtfully developed a series of desired outcomes, were dissatisfied with the state's minimalist approach. Another state seemed quite befuddled about desired outcomes. Originally the state had set many demands for desired outcomes, then gave inconsistent guidance that it is now reconsidering. Until the state reaches a final decision, districts can use only NCE gains. Lastly, one state informed districts that they could use either NCE gains or desired outcomes to identify schools; all three districts visited had adopted desired outcomes, and one used them exclusively in defining schools. We note this finding because states were to use NCE gains as a measure of aggregate performance.

According to national survey results, 90 percent of the districts consulted with others in developing desired outcomes (Exhibit 2.2). Chapter 1 teachers and principals were consulted by most districts (84 percent and 74 percent of districts, respectively), and about two-thirds of the districts consulted with parents and non-Chapter 1 teachers. State Chapter 1 offices were also consulted by about two-thirds of the districts. Districts were less likely to contact others outside of their district, although about one-third did so. A quarter of the districts consulted with their local school boards. For those districts serving Chapter 1 students attending private schools, over half (53 percent) consulted with representatives of private schools.

Almost without exception, school districts reported they use aggregated student performance as a desired outcome. As shown in Exhibit 2.3, 90 percent of the districts reported using the aggregate performance measure of a minimum level of NCE greater than zero, and no other measure comes close as a universal measure. The next highest ranked item, sustained effects as shown by achievement test results, was mentioned by 41 percent of the districts, followed by minimum percentile on a standardized achievement test (35 percent of districts) and checklists completed by teachers (35 percent).

Instruments used to measure desired outcomes were standardized norm-referenced achievement tests (97 percent of districts), followed by checklists filled out by teachers (35 percent) and school grades (20 percent). (See Exhibit 2.4.)

The district visits confirm the use of NCE gains as desired outcomes in identifying schools. NCE gains were (with one exception) a universal measure of desired outcomes, although the districts that we visited varied somewhat in how they used NCE gains to identify

Exhibit 2.2

CONSULTATIONS DISTRICT CHAPTER 1 STAFF HELD WHILE DEVELOPING DESIRED OUTCOMES

With whom, if anyone, did district staff consult as they were developing their desired outcomes?

	Percent of Districts[1]
Chapter 1 teachers	84%
Principals	74
Parents	69
Non-Chapter 1 teachers	65
State Chapter 1 office	64
Representatives of private school children	53[2]
Administrators from other programs in this district	35
Chapter 1 staff in other school districts	30
Technical Assistance Center (TAC or R-TAC)	25
Local board of education	25
Not applicable; we did not consult with others	10

Total adds to more than 100 percent because respondents chose multiple answers.

[1] The weighted base N for all but the last response is 6,515. For the last response the weighted base N is 7,209. The item was asked of mail respondents only. The nonresponse rate is 2 percent.

[2] The weighted base N is 1,413 for districts serving Chapter 1 students attending private schools.

Figure reads: Of these districts who consulted with others, 84 percent consulted with Chapter 1 teachers.

Exhibit 2.3

MEASURES OF DESIRED OUTCOMES AND AGGREGATE PERFORMANCE

How does this district measure the desired outcomes for children participating in the Chapter 1 project, as specified in your district's Chapter 1 application?

	Percent of Districts[1]
A minimum level of NCE gain greater than zero	90%
Sustained effects as shown by achievement test scores	41
Checklists filled out by teachers	35
A minimum percentile on a standardized achievement test	35
School grades	30
Percent of students exiting from program	20
Outcomes on a state criterion-referenced test	18
Retention in grade	17
A minimum percentile gain on a standardized achievement test	14
Attendance	13
Writing samples	12
Other indices of student behavior	13
Dropout rates	6
Credits earned or graduation rates	4

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[1] Total adds to more than 100 percent because respondents chose multiple answers. Weighted base N is 14,588. The nonresponse rate is 2 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 2.4

INSTRUMENTS USED TO MEASURE DESIRED OUTCOMES AND AGGREGATE PERFORMANCE

How does this district measure the desired outcomes for children participating in the Chapter 1 project, as specified in your district's Chapter 1 application?

	Percent of Districts[1]
Standardized achievement test	97%
Checklists filled out by teachers	35
School grades	30
Percent of students exiting from program	20
State criterion-referenced test	18
Retention in grade	17
Attendance	13
Writing samples	12
Other indices of student behavior	13
Dropout rate	6
Credits earned or graduation rates	4

---

[1] Total adds to more than 100 percent because respondents chose multiple answers. Weighted base N is 14,588. The nonresponse rate is 2 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

schools. In one district, the majority of grades in the school had to show gains, even if the overall NCE gain was positive. In another district, a school was not identified in a subject matter area unless there was poor performance across all grades in the school. In a third district, very high NCE gains in one grade would offset NCE losses in all other grades in the school. Not knowing it was illegal, a fourth district compared each school to the district average, so that designated schools had to be performing below the district average. Some schools with NCE losses in that district were not identified for program improvement because two grades had district-wide NCE losses.

In keeping with the urging of the federal government, many districts reported using measures in addition to norm-referenced tests. According to the national survey, 65 percent of the districts use other instruments in conjunction with norm-referenced tests. Almost one-third of the districts (32 percent) used only norm-referenced tests to define desired outcomes; and 3 percent of the districts said that they did not use norm-referenced tests. Large districts are much more likely than small districts to use multiple measures. Among the largest districts (25,000 or more students), 80 percent use multiple measures, compared to 63 percent of small districts (fewer than 1,000 students). Multiple measures were also found during our site visits. More than half of the districts visited used measures in addition to the NCE gain. Measures included state or locally developed criterion-referenced tests, promotion rates, number of books children read, end-of-unit tests, and grades. We should point out that desired outcomes were not uniformly accepted across states. While accepted in some states, one state rejected retention rates as a measure, while another rejected the number of books children read as a desired outcome.

Although most states we visited are strongly supportive of program improvement, one state stood out in its emphasis on multiple desired outcomes.

MULTIPLE DESIRED OUTCOMES
STATE INITIATIVE

The state coordinator in a large state objected to the setting of zero or negative NCEs as the sole standard and much prefers additional measures, in large part because "it forced them--principals, regular teachers, everybody--to look at Chapter 1."

Each district must meet desired outcomes in one of three areas: success in the regular program, attainment of grade level proficiency, or achievement in basic and more advanced skills. Desired outcomes for success in the regular program include grades, teacher observation, writing samples, promotion rates, attendance, and criterion-referenced test scores. Attainment of grade-level proficiency is measured by annual gain in unit tests, level tests, report cards, criterion referenced tests, and book level. Achievement in basic and more advanced skills is measured by a mean NCE gain by subject by grade that reflects the statewide averages from the previous year.

Despite the burden associated with data collection and measurement of desired outcomes, some administrators and Chapter 1 teachers felt that the desired outcomes were more relevant and a better reflection of improvement than the NCE gain alone.

Several districts visited in other states also sought to incorporate a variety of desired outcomes in their measures of school quality; the measures used in one large urban district are highlighted below.

MULTIPLE DESIRED OUTCOMES
DISTRICT INITIATIVE

One school district aggressively moved to work with school staff to develop a variety of desired outcomes. As the coordinator reported: "We give lots of encouragement to do alternative assessment. We know we are learning even if it is not reflected on standardized achievement tests." Among the desired outcomes used are the following:

- A majority of students will have demonstrated name writing skills appropriate for their ages at the end of the school year (3- and 4-year-olds).
- Raw score gains on pre- and post-testing on such instruments as CAPE developmental checklist, cooperative preschool inventory, and Boehm test of basic concepts.
- 70 percent of the teachers will report that they have successfully met their objectives for the school year (based on fall and spring administration).
- Parents in parenting sessions will establish two personal goals related to enhancement of parenting skills; a majority of parents by the end of the school year will indicate that they have successfully met their goals.
- 75 percent of the students at each grade level will meet 75 percent of the objectives included in criterion-referenced tests.
- Holistic evaluation of student writing samples (some schools).
- Classroom observations of student performance (in select Chapter 1 bilingual programs).

Substantial progress in desired outcomes was defined as a program's meeting more than half of the desired outcomes. A school was identified for program improvement if half or more of the Chapter 1 programs in the school were not meeting their objectives. The one school clearly doing poorly was identified. The process was well-liked and staff reported that they felt it worked well.

IDENTIFYING SCHOOLS IN NEED OF IMPROVEMENT

Once measures of quality were established, schools were identified for program improvement. By the time our study began, two cohorts of schools had been identified (one on the basis of 1988-89 data and the other on the basis of 1989-90 data).

The initial identification of schools is more often made by school districts than state departments of education. Almost 60 percent of the districts surveyed reported that they did the initial analysis, while the remaining 40 percent indicated that the state department did the initial analysis. Who did the initial analysis was in part a function of the state role in testing: where the state had traditionally taken the lead in aggregating test score data, it was likely to conduct the initial analysis. In a small proportion of cases, the final decision was jointly made.

Almost 4,000 school districts (27 percent of all districts) have had at least one school identified as in need of improvement over the past two years; a total of over 10,000 schools have been identified. Of the total number of schools, about 6 percent identified in the first year and 2 percent identified in the second year were exempted because of local conditions.[1]

The largest school districts (25,000 or more students) have a somewhat larger share of schools in need of improvement relative to all Chapter 1 schools than smaller districts. The largest districts have 15 percent of all Chapter 1 schools, but they include 21 percent of Chapter 1 schools in need of improvement (Exhibit 2.5). The total number of schools in need of

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[1] The five allowable local conditions for an exemption under the law (P.L. 100-297, section 1021(e)) are:

- the mobility of the student population;
- the extent of educational deprivation among program participants which may negatively affect improvement efforts;
- the difficulties in dealing with older children in secondary school Chapter 1 programs;
- whether indicators other than improved achievement demonstrate the positive effects on participating Chapter 1 children; and
- whether a change in the review cycle or in the measurement instrument used on other measure-related phenomena has rendered results invalid or unreliable for that particular year.

The U.S. Department of Education has discouraged states and districts from granting exemptions. Only one school among those visited had been granted an exemption; it was granted an exemption for one year because of high mobility rates. The following year, the school was put into program improvement.

Exhibit 2.5

CHAPTER 1 SCHOOLS AND SCHOOLS IN NEED OF IMPROVEMENT, BY DISTRICT ENROLLMENT SIZE

What is the total number of Chapter 1 schools and schools in need of improvement in your district?

	Chapter 1 Schools[1]		Chapter 1 Schools in Need of Improvement[2]	
Total District Enrollment	**Number**	**Percent**	**Number**	**Percent**
25,000 students and above	7,623	15%	2,027	21%
10,000 to 24,999 students	5,672	11	1,206	12
5,000 to 9,999 students	7,133	14	1,340	14
2,500 to 4,999 students	9,616	18	1,466	15
1,000 to 2,499 students	9,768	19	1,732	18
Fewer than 1,000 students	12,215	23	2,004	20
Total	52,026	100%	9,775	100%

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[1] The weighted base N is 14,898, for an item nonresponse rate of 0 percent.

[2] The weighted base N is 3,990, for an item nonresponse rate of 0 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

improvement is fairly evenly distributed across districts of different sizes. Each size category has between 12 and 21 percent of its schools in need of improvement, with the largest districts and smallest districts (less than 1,000 students) each accounting for about one-fifth of all the schools in need of improvement.

High poverty districts (more than 21 percent poverty) have a much higher proportion of schools in need of improvement (43 percent) relative to all Chapter 1 schools (28 percent) in those districts (Exhibit 2.6). Similarly low poverty districts (12 percent poverty of less) have a lower proportion of schools in need of improvement (14 percent of total) than of Chapter 1 schools (21 percent).

Across the districts visited, schools in need of improvement were identified as high poverty schools, usually with high student mobility and a large linguistic or racial minority student body. Illustrative quotes from district Chapter 1 coordinators are displayed below.

WHAT DO SCHOOLS IN NEED OF IMPROVEMENT LOOK LIKE?

Many district coordinators interviewed described their schools in need of improvement by their demographic characteristics. Seldom were the schools defined in terms of their Chapter 1 instructional program.

> "They are generally in poor neighborhoods where drugs are part of the economy. They are also schools with very poor parent involvement."
>
> "High poverty, mobility, migrant population, and 80 percent Spanish speakers."
>
> "Inner city schools with a poor minority population--neighborhoods in need of improvement."
>
> "Low socioeconomic population, weak developmental reading programs and maybe a need for help with test administration."
>
> "They are marked by a high percentage of low-income families, a high percentage of minority students, and high mobility rates."
>
> "They generally have a higher poverty rate (over 60 percent) than other schools."
>
> "Weak principal!"
>
> "Troubled urban schools with a high incidence of poverty, transience, third or fourth generation public assistance families, limited family involvement, parents who dropped out of school."

Exhibit 2.6

CHAPTER 1 SCHOOLS AND SCHOOLS IN NEED OF IMPROVEMENT, BY DISTRICT ENROLLMENT SIZE

What is the total number of Chapter 1 schools and schools in need of improvement in your district?

	Chapter 1 Schools[1]		Chapter 1 Schools in Need of Improvement[2]	
Poverty Quartile of District	**Number**	**Percent**	**Number**	**Percent**
More than 21% poverty	14,328	28	4,164	43
13 to 21% poverty	14,621	28	2,829	29
7 to 12% poverty	10,960	21	1,385	14
Less than 7% poverty	12,117	23	1,396	14
Total	52,026	100%	9,775	100%

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[1] The weighted base N is 14,898, for an item nonresponse rate of 0 percent.

[2] The weighted base N is 3,990, for an item nonresponse rate of 0 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

There is considerable concern about the accuracy of the identification process within districts with such schools. Only 27 percent of the district coordinators rated the assessment process as "good," 41 percent thought the process "fair" and about 32 percent thought the process "poor."[2] Districts using multiple measures were more likely to rate the process "good" than those using only a single measure. Thirty-four percent of those using three or more measures thought the process "good," compared only 11 percent of those using a single measure. Our visits to states and school districts confirmed these findings. Some districts thought the process was accurate. Yet in other districts, nationally recognized schools were identified, while schools that seemed prime candidates in the eyes of school and district people were by-passed. Furthermore, schools bounced in and out of program improvement over time without changing their instructional program. The perceived accuracy of the process significantly affected the nature of the activities undertaken. The issues with the identification process are discussed in more detail later in this chapter.

STATUS OF IMPLEMENTATION

Chapter 1 coordinators noted that most schools used the first year following identification for program improvement as a planning and/or partial implementation year, with the second year devoted to full implementation if schools did not "test out" of the process (Exhibit 2.7).[3] (By

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[2] Concerns about the accuracy of the identification process persist although many perceive an NCE gain greater than 0 as a minimal measure of student achievement. For Chapter 1 students in the elementary grades (grades 2 through 8), the average NCE gain score in reading was 2.9 for the fall of 1987 to fall 1988 period. Average NCE gain scores are not available for schools. For the Fall 1987 to Fall 1988, testing data were available for 1,045,104 Chapter 1 students in reading. National gains varied by grade, from a low of 0 NCEs for twelfth graders to a high of 3.5 NCEs for fourth graders. (Source: Decision Resources Corporation. 1990. A Summary of State Chapter 1 Participation and Achievement Information for 1987-88. Washington, DC: Author.)

[3] The survey data presented in Exhibit 2.7 are at best suggestive. More than one-half of the respondents had recorded inconsistent data among the number of schools identified each year, the number continuing in program improvement from one year to the next, and the status of the identified schools. There was also a large non-response on the item. Based upon our field work in state Chapter 1 offices and in districts, it appears that the number of schools "testing out" of program improvement during the process is larger than the 29 percent of schools who had "completed LEA plan and no longer need improvement." Among the districts visited, for example, almost three-fifths (57%) of the schools identified in the first year (on the basis of data from 1988-89) have "tested out" of program improvement.

Exhibit 2.7

STATUS OF SCHOOLS IMPLEMENTING SCHOOL IMPROVEMENT PLANS

Of the schools identified as needing improvement, please indicate the current status of each school in implementing the improvement plans.

	On the basis of data from			
	1988-89		1989-90	
	Percent of Schools	Number of Schools[1]	Percent of Schools	Number of Schools[2]
Not yet implementing LEA plan	4%	134	45%	2,325
Partially implementing LEA plan	13	487	21	1,106
Fully implementing LEA plan	54	2,077	29	1,497
Completed LEA plan and no longer need improvement	29	1,123	5	245
Completed LEA plan and partially implementing SEA/LEA plan	--	--	--	--
Completed LEA plan and fully implementing joint SEA/LEA plan	--	--	--	--
	100%	3,821	100%	5,173

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[1] Weighted base N of school districts is 1,374. The nonresponse rate is 16 percent.
[2] Weighted base N of school districts is 2,701. The nonresponse rate is 8 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

"testing out," we mean that schools' test scores the next year were sufficiently high so that they did not need to continue from planning into implementation.) Fifty-four percent of the schools in the cohort identified in the first year (on the basis of 1988-89 data) are currently fully implementing their school improvement plans, while most of those in the second cohort of schools (identified from 1989-90 data) are in the planning process or are partially implementing plans. No schools had initiated a joint SEA/LEA plan in 1990-91.

The typical school improvement cycle in most districts visited proceeded as follows:

1. A set of schools were identified in spring 1989 as in need of improvement.
2. These schools began the planning process in September 1989 and submitted a plan for improvement to the district in February or March 1990.
3. All schools were retested in spring 1990. Some schools originally in need of improvement in 1989 "tested out" of program improvement, subsequently abandoning plans they had submitted for improvement or implementing them on a voluntary basis.
4. A new set of schools was identified in spring 1990 and began the process described above. A subset of the original schools identified in 1989 failed to test out and begin implementation of their improvement plans in September 1990.

Nineteen of the 27 districts visited matched or closely approximated this pattern. Many district staff we interviewed said that they had schools that were not only planning but were "partially implementing their plans" during the planning year. However, partial implementation seemed to mean little more than continued planning (conducting a needs assessment, for example). It appeared that the districts we visited generally had adopted a two-year time-frame, one full school year for planning and (if a school did not test out) the following school year for implementation.

In addition to the 19 districts that conformed to the general cycle, two districts had no schools in need of improvement and three had designated all their schools as in need of improvement. One of these districts is very small and contained a single attendance area, one used very ambitious desired outcomes that inadvertently identified all schools, and the third district put all schools into program improvement status by "fiat" in order to avoid any touch of stigma among the large number of designated schools and possibly because they thought there would be additional funding available for improvement activities.

Two districts in the on-site research did not conform to the pattern of a year for planning and a year for implementation in their schools in need of improvement. In one of these districts, the schools carried out their plans for improvement even though they tested out of the need for improvement. These plans are for staff development in areas associated with teaching language arts to at-risk students, which is a priority in the state. The other district, which had been involved in program improvement before the new legislation, simply accelerated the planning-implementation calendar. Specifically, during the planning time, each school was able to design and implement teacher workshops, Family Nights, faculty meetings, planning by teachers within and across grade levels, and detailed progress reports on each Chapter 1 student. All activities focused on mathematics.

A factor that appeared to facilitate the planning process for schools in need of improvement was the existence of a district or state improvement initiative that also required school-based planning. Five states had state improvement initiatives, including the state that had the accelerated school improvement calendar cited above. All low-achieving schools in that state are to write school improvement plans. Several districts had initiated their own improvement efforts. One of these districts is moving to site-based management; another, as described below, is in the midst of an ambitious district improvement plan.

BUILDING ON DISTRICT IMPROVEMENT

Upon his arrival two years ago, the superintendent of this very large industrialized city announced a plan for the improvement of education under which all schools were required to write and implement a six-year school improvement plan by October 1990. The district's area superintendents were aware that the schools were writing these plans so when Chapter 1 required program improvement, they met with the curricula administrators to ensure that schools didn't have to write two plans. Although the thrust of the two plans is different in that the Superintendent's goal is to achieve a 95 percent attendance rate, schools were able to use some of the same data to complete the two plans.

In another midwestern state, the state's move to performance-based accreditation has led to much the same situation. Again, the schools in need of improvement were relieved of writing two plans and in this case, the plans for program improvement in Chapter 1 were "folded into" the overall school improvement plan.

States and districts encountered a variety of roadblocks in the start-up of the identification and implementation process. For example, one state director misunderstood the timetable in the legislation and delayed the process a year. Another state, which has undergone extensive recent change, told districts to treat the second year as if it were still the first. A third state, which traditionally has minimal control over district programs, opted to allow schools to identify themselves for program improvement, based on self-assessments of the program. In districts where administrators believed that schools were mis-identified as needing improvement, the slowness of the implementation process was apparently some version of foot-dragging. In these districts, the perception was either that the identification was an error and therefore would correct itself or there was one "problem" (the desired outcomes used in kindergarten or the absence of the regular Chapter 1 teacher for a year) that, once corrected, would result in turning around the status of the school. In these districts, the most important part of the planning year was trying to correct the perceived problem and then waiting for the testing cycle to prove that they were right.

ACTIVITIES UNDERTAKEN

As part of the program improvement legislation, the Hawkins-Stafford Amendments provided specific examples of suitable activities (P.L. 100-297, section 1020 (a) (2)), including:

- training and retraining of personnel;
- development of curricula that has shown promise in similar schools;
- replication of promising practices in effective schools models;
- improving coordination between programs assisted under this chapter and the regular school program; and
- development of innovative strategies to enhance parental involvement.

Of the 27 school districts visited, 25 had schools identified as in need of improvement. These school districts were characterized as follows:

- School districts that planned and/or implemented activities to improve programs. Eleven districts had completed the planning process and were implementing changes in at least some schools. Another eight districts were either currently in the planning process or had completed the process when their schools tested out of program improvement.
- School districts that undertook activities aimed at correcting the situation that they believe had "triggered" the designation. Three districts were in this category.
- School districts that undertook no activities. Another three districts were in this category.

Each is described below.

Districts that Planned or Implemented Improvement Activities

About two-thirds of the districts we visited contained schools that took the planning process seriously. One district coordinator stated a view that many coordinators shared. "What are we getting for the $6.5 million dollars coming into this district? For that kind of money, can't we expect more than minimal progress? We have to set our sights higher and program improvement is one way to do that."

At the school-level, the first step was to form a committee for planning that was comprised of administrators, classroom teachers, and Chapter 1 personnel. Sometimes district personnel, representatives of other special programs in the school, and parents were included on the committee as well. Two districts where several schools tested out of program improvement after the planning year reported that the formation of such a committee had a positive effect on each school even before it undertook any specific activities. In one of those districts, the formation of planning committees for school improvement brought together Chapter 1 personnel and classroom teachers to do joint planning for the first time. The effect of forming these committees was to enhance coordination, facilitate achievement, and raise school morale. For the first cohort of schools that was identified, all of which have 'tested out,' success is attributed to the activities of the planning year. Being identified for program improvement caused the principals and staffs to scrutinize themselves, their programs and their students and to pay more attention to their teaching strategies. There was a concerted effort to improve, and many believe that it was more the attitude than any particular activity that made the difference.

Some schools took the opportunity provided by the planning year to tackle a problem that they believed had been affecting their program adversely for some time or to foster change at the whole school level, as illustrated in the following display.

SCHOOL IMPROVEMENT THROUGH CHAPTER 1

In this small southern city, the district is using the program improvement process to address issues affecting entire schools, such as team building, retention, curriculum, and teaching styles. Improvement activities that are being implemented in the schools in need of improvement are listed below:

- A task force was created to explore problems and possible solutions with the schools. The task force is comprised of teachers from each grade level, the two teachers in the state compensatory program, the parent facilitator and the principal.
- A consultant from the publisher of the reading series was brought in to discuss strategies that could be used to help disadvantaged students and all teachers were required to attend the workshop.
- The district brought in a consultant to give demonstration lessons for each grade and teachers were given release time to observe the lessons. After school, a mini-workshop was held so that teachers could talk with the consultant about what they had seen in the lessons.
- The district brought in another consultant to address non-content issues that were affecting academic achievement. After observing classes and meeting with teachers and administrators, this consultant determined that discipline and morale were the most pervasive problems in the school. This consultant continued to work with the schools throughout the year to find solutions to these problems.
- A special education specialist was brought in to speak about effective interaction between teachers and special education students.
- One of the schools brought in an evaluation specialist from another district to conduct a workshop on how to evaluate test data and use the results in the classroom.

Two of the eight districts in the planning phase were districts (one rural and one urban) that had converted all schools into schoolwide project schools. In the urban district, all schools had also been designated schools in need of improvement; in the rural district two schools had been designated schools in need of improvement. All program improvement activities had been subsumed under schoolwide project activities.

Eleven districts are currently implementing changes in their Chapter 1 schools identified for program improvement, with multiple changes underway in seven districts. The area of staff development was most often targeted (7 districts), followed by curriculum and parent involvement (4 districts each). Changes in staff patterns and instructional models were reported in two districts as was the increased use of computers in instruction.

Because no districts had completed implementing their plans, there is no information yet available on what activities were successful in improving programs.

Districts that Focused on the Identifying Measure not the Program

Staff in several districts we visited were convinced that some one problem or event had caused schools to need improvement, and their activities in the planning year were aimed primarily at correcting that one problem. Quotes from various district and school respondents highlight the nature of the problems identified. In none of these schools did the Chapter 1 instructional program come under scrutiny.

ALL SCHOOLS NEED IMPROVEMENT BUT...

The principals and teachers in many schools could articulate a single problem, unrelated to the content of the Chapter 1 program that they believed had led one or more of their schools into the school-in-need-of-improvement status. District respondents tended to concur, beginning their response with "All schools need improvement but..."

> "The school had a very weak substitute principal for a year and the whole program suffered for it."
>
> "The desired outcomes for the kindergarten were inappropriate and now the whole school is said to need improvement. Ridiculous."
>
> "There are only two grades in this school--kindergarten didn't make its desired outcomes so first graders are in program improvement too."
>
> "It was a fluke in testing three children whose negative scores pulled down the whole school."
>
> "The usual Chapter 1 teacher went on sabbatical and her replacement caused some personnel problems in the school and the scores dropped."
>
> "It was changing tests. Our students always did well on the California Achievement Test but test scores plummeted with the ITBS (Iowa Test of Basic Skills)."

Although the schools completed the process of producing plans for improvement, the plans were considered less important than fixing the problem that identified the school as in need of improvement. For example, one principal who had moved to a district position came back to her school to remedy the weak leadership problem. The district in which the kindergarten did not meet its desired outcomes removed Chapter 1 funding from that grade level and replaced it with state compensatory money which had no performance requirements. Two other schools changed their tests. The Chapter 1 instructional program was not examined in any school.

Districts that Did Not Make Any Changes

The schools that undertook no activities were generally located in districts that were convinced that the process for identifying schools was in error. Three districts visited were in this group. In one district where all schools were identified as in need of improvement, it was not clear that the schools even realized their status, much less were expected to do anything about it. Another district in which the Chapter 1 coordinator believes that the schools are doing "all that they can for low-achieving students" did not implement any plan but waited for the school to test out, which it did the following year. Finally, one district (which ended up designating no schools in program improvement) devised an alternate identification method that was so complex that the on-site researchers suspected that "they are doing everything they can do to avoid implementing a program initiative."

RESOURCES FOR PROGRAM IMPROVEMENT

Technical Assistance

Schools were not expected to carry the burden of school improvement on their own. The Hawkins-Stafford Amendments mention several possible resources for assistance including institutions of higher education, federally supported educational laboratories or centers, state personnel with expertise in educational improvement, and locally, state or nationally based consultants. From the many resources for technical assistance that were seemingly available to them, most schools in need of improvement used those most directly "up the line" --the district and state Chapter 1 offices.

In the district survey, Chapter 1 coordinators were asked to indicate which providers had assisted schools in need of improvement in the 1989-90 year and to project which providers would work with such schools during the 1990-91 year. Virtually all districts (93 percent) named assistance providers of some sort. (Exhibit 2.8). More districts (79 percent) cited the district's own Chapter 1 staff than any other source. The state Chapter 1 office was the next most frequently mentioned provider (68 percent). Other district staff were cited by 39 percent of the districts; Chapter 1 Technical Assistance Centers (TAC/RTACs) were cited by almost as many (32 percent) districts. Seventy-seven percent of the districts cited more than one technical

Exhibit 2.8

TECHNICAL ASSISTANCE PROVIDERS TO SCHOOLS IN NEED OF IMPROVEMENT

In the 1989-90 school year and the 1990-91 school year, what types of providers have assisted or will assist Chapter 1 schools in need of improvement?

	Percent of Districts[1]
Not applicable; we have no assistance providers	7%
District Chapter 1 staff	79
SEA Chapter 1 office	68
Other district staff	39
Chapter 1 TAC/R-TAC	32
Other providers	18
Independent consultants	14
Institutions of higher education	9
Another office in the SEA	6
Federally supported educational laboratory or center	5

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[1] Total adds to more than 100 percent because respondents chose multiple answers. Weighted base N is 3,163 for the first item and 2,942 for the remaining items. The nonresponse rate is 5 percent. Districts that had no assistance providers were excluded from all but the first item.

Figure reads: Of the districts with assistance providers for schools in need of improvement, 79 percent of the districts are using district Chapter 1 staff.

Source: District Survey of Chapter 1 Implementation, 1990.

assistance provider. The dominance of the Chapter 1 network as service providers may be a reflection of the newness of these provisions.

The districts visited reflected the inclination to use state and district Chapter 1 resources for technical assistance. Several of the states had responded to the need for information on the school improvement process by holding workshops and/or publishing a brochure or handbook to guide their districts and schools through the program improvement process. Districts' actions ranged from sitting in on school meetings and making suggestions to writing the bulk of the improvement plans for their schools in need of improvement, leaving the schools to "fill in the blanks" or complete a checklist.

Where schools made use of one technical assistance resource, there was some tendency for them to make use of several resources. In one midwestern city, for example, available resources include regional and local inservice staff development workshops, joint meetings of the committees from all the district's schools in need of improvement, and material and equipment as needed. The district coordinator emphasizes that the focal point of the improvement plans must be staff development, not materials and equipment. Each of the schools has been given a small stipend (about $700) to support continued inservice. There also has been additional help from the regional Chapter 1 Technical Assistance Center and from the SEA, which was termed "balanced" and "practical."

State Program Improvement Funds

The Hawkins-Stafford Amendments (P.L. 100-297, section 1405) authorized a portion of Chapter 1 funding for program improvement to be distributed to states by formula. One-quarter of one percent of the allocation was authorized for FY 89-FY 91; for FY 92 and FY 93, the percent was raised to one-half of one percent. The allocation was not seen as reflecting the magnitude of the desired improvement effort but rather as a modest incentive.

In FY 1989, $5.8 million in federal funds were distributed to states to use for program improvement; a year later, $12.5 million were distributed. At the time of the survey (November -December 1990), few districts had received program improvement funds from their state offices; and grants, when awarded, were quite small.

For both the 1989-90 and 1990-91 school years, one-quarter of the districts with schools in need of improvement did not indicate on the survey whether they received any program improvement funds from the state. It is likely they received no funds, given that almost two-thirds of the districts reported no funds (61 percent in 1989-90 and 60 percent in 1990-91).

Of the districts receiving funds, grants received in 1990-91 were somewhat larger than those awarded the year before. In 1989-90, the median grant was $1,000; while in 1990-91, the median grant was $2,000. In 1989-90, only 5 percent of those districts receiving funds had grants of $10,000 or more, while in 1990-91, 18 percent of districts receiving grants had grants of $10,000 or more. We should note that not all funds had been distributed by the time of our survey.

The on-site visits in both state offices and districts confirmed the limited distribution and small grant size of state program improvement grants. Most states visited (six of the nine) did not distribute funds from 1989-90 during that year. Five states of the nine had distributed funds from neither year at the time of the site visits (November 1990 through February 1991). A sixth state distributed less than 20 percent of its 1989-90 funds.

State Chapter 1 Coordinators who were interviewed during the site visits reported that the most common method used to distribute funds was on a per capita or per school formula (five of nine states) so that all schools and children receive their "equal" share. Most states use a per pupil formula, although one is using a per school amount ($296 in 1989-90 and $1,150 in 1990-91), and another set a base rate for schools with an additional per pupil amount ($1,800 per school plus $12.57 per Chapter 1 student). Three states requested that districts submit applications for program improvement funds.

Among the districts visited, program improvement grants (when awarded) averaged between $290 and $2,300 a school. However, only six school districts and a few schools complained that the resources available were not adequate to carry out school improvement activities. In some cases, this result may be because the schools did not know what they needed and therefore wouldn't know how to spend money if they got it. For the two districts described below, there is some evidence too that, at least in the planning year, a little funding could go a long way.

PLANNING FUNDS

Planning for program improvement requires certain types of expenditures, according to the district coordinator in one large city. He has inserted a line item in its Chapter 1 budget for program improvement-related costs. This year, the allocation was a few thousand dollars, which was used to cover:

- substitute teachers for release time for Chapter 1 and classroom teachers;
- stipends for after school inservice;
- child care and food for meetings;
- travel to other districts in the state that are implementing programs of interest; and
- materials needed for planning.

In a small city in the northeast, a district used about $6,000 in funds from the state to hire consultants from its regional dissemination laboratory to conduct workshops on the areas that teachers identified as essential, including building student self-esteem and critical thinking skills. They are now planning workshops on integrating language arts into the curriculum and conducting portfolio assessments.

Other Financial Resources for Schools in Need of Improvement

School districts are encouraged to provide resources to schools based on the cost of the school improvement plans, but few funds from any source have yet been invested in schools in need of improvement. The most common source is the Chapter 1 Basic Grant. In 1990-91, more than one-third of the districts with schools in need of improvement provided some extra funds from their Chapter 1 Basic Grant for schools in need of improvement, an increase over the 18 percent of districts that provided extra funds in 1989-90. In a few districts (2 percent of those with schools in need of improvement), some portion of the Chapter 1 Innovation Grant supported activities in schools in need of improvement.

A few of the districts that were visited have been enterprising in soliciting funds for their schools in need of improvement. Funding sources included federal, district, and private funds. One district used $135,000 in Chapter 1 carryover funds to set up computer laboratories in its schools in need of improvement. Another obtained $5,000 in Chapter 2 funds for piloting a new achievement test, an activity which they wrote into their improvement plan. A small district that moved to an after-school program convinced the district to cover the cost of transporting students. Another small district secured a grant from the state association of school boards to fund the training for a parenting program.

CONTINUING ISSUES

For many states and districts, the first one or two years of the schools in need of improvement process revealed awkward and confused moments as they developed and put in place procedures for identifying schools and implementing the improvement process. Although that set of problems is surmounted in most districts, some issues persist that are more difficult to solve. These are:

- lack of faith in the accuracy of the identification process;
- little evaluation expertise available at the district level;
- problems that resist program improvement; and
- uncertainties about the state role in the process.

Each is described in turn below.

Lack of Faith

As long as schools are placed into program improvement status for reasons that make no intuitive sense to district Chapter 1 administrators, their response to school improvement is likely to remain lukewarm. It appears from the information provided by respondents during the on-site research that unless administrators are convinced personally that a school needs improvement, or more improvement than other schools in the district, it is difficult for them to accept the "needs improvement" diagnosis. While desired outcomes were held responsible for some of what were seen as errors in school identification, the most serious skepticism about school improvement centered around standardized testing procedures.

Unclear Meaning of the Norm-Referenced Test Scores in School Performance. Norm-referenced tests are appropriate for selecting students for Chapter 1 programs because they were designed to discriminate among students on their performance. The meaning of gains over time in norm-referenced tests is less clear, either for student performance or for school performance. To have moved up several positions relative to others taking the test does not illuminate what students have learned. Nor is the meaning self-evident for a school to have gained 3 NCEs moving from 25 to 28 NCEs and whether that movement is better, worse, or the same as for another school that also gained 3 NCEs, moving from 45 NCEs to 48 NCEs.

NCE Gains Alone May Be an Unreliable Indicator of Program Quality. The unreliability of NCE gains is evident in the number of schools using NCE gains alone that enter and leave program improvement while their programs remain unchanged. A large proportion of schools identified for program improvement in one year are out of program improvement the next year, without having implemented improvement plans. Data from on-site research illustrates the concern. Across the districts visited, over half of the schools identified as in need of improvement had tested out, yet very few had initiated any programmatic changes. Furthermore, in three states that kept records on the number of schools that had tested out, the number of schools that had tested out was correspondingly high. Forty-four percent had tested out in one state, 56 percent had tested out in another. In a third state whose strategy for program improvement was to align the Chapter 1 curriculum with the test, 84 percent of the districts tested out of program improvement. In this state, the 129 schools that had tested out were replaced by 177 new schools. It seems unlikely that the measurable quality of one set of schools markedly increased in one year, while another set of schools markedly declined.

Errors in measurement are one culprit. The proportion of schools testing out of program improvement is consistent with Anderson's (1991) analysis of the likelihood that errors of measurement will be responsible for many schools' designation for program improvement.[4] Because a small number of test questions answered right or wrong by one student can trigger a gain or loss of several NCEs, Anderson concludes:

> The practical effect for projects which are relying on just one score to assess achievement is that instruction can appear to have helped -- or to have hurt -- students which the observed change is due not to instruction but to error. As the number of students increases, the errors will balance out, but for small projects, there can be large observed changes from chance alone. (p.11).

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[4] Anderson, Judith, I. (1991, April 5). Using the Norm-Referenced Model to Evaluate Chapter 1. Paper presented at the annual meeting of the American Educational Research Association.

It is quite likely that test results for small numbers of students will continue to be used to identify schools as needing improvement. The proportion of students for whom pre- and post-test score data are available is not high. In one state, where states identify schools using matched pre- and post-test scores, information was available on only 25 percent of the students. Consequently, the state required that schools be identified either by NCE gains or by performance levels on the state criterion-referenced test. Several districts we visited reported data available on less than half of the students. One school with particularly high student mobility had pre- and post-test information available on only five of its 25 Chapter 1 students.

While most districts report taking some steps to maximize matched test scores (Exhibit 2.9), few districts are able to follow-up on students in a systematic way. Smaller districts have the fewest resources to track students. For example, 87 percent of the largest districts have methods to track students who transfer among the district's schools, while only 27 percent of districts with fewer than 2,500 students have such methods.

Measures of Advanced Skills Continue Reliance on Norm-Referenced Tests. In most districts, norm-referenced tests are used to measure advanced skills in reading and mathematics, perpetuating the use of these instruments as the sole measure for identifying schools. The new requirement to assess advanced skills has not brought with it much change in measures, although the original legislative intent was to assess critical thinking skills or higher order thinking skills in students -- skills which typically are not measured by multiple-choice tests. As shown in Exhibits 2.10 and 2.11, only a few districts are exploring other measures. About one quarter of the districts reported that they are using end-of-chapter tests; about 20 percent of the districts reported using criterion-referenced tests.

Measurement Issues with Other Desired Outcomes. Not all problems with identifying schools rest with criticisms of norm-referenced tests. Other measures have their drawbacks as well. Some districts set desired outcomes, with little knowledge of what baseline expectations ought to be. One district, for example, unknowingly established desired outcomes no schools could achieve, so all schools were identified as in need of improvement. The desired outcomes did not discriminate between the schools that really needed changing and those schools that did not. District administrators thought that having all schools identified weakened the effectiveness

Exhibit 2.9

METHODS USED TO MAXIMIZE MATCHED TEST SCORES

What methods does the district use to maximize the number of students tested for both the pre-test and post-test?

	Percent of Districts[1]
Give make-up tests	81%
Additional review of student record folders	39
Track students who transfer among the district's schools	39
Use computer database software to facilitate manual recordkeeping practices	18
Encourage teachers to contact students no longer in the program to urge them to take the test	14
Other measures	7
Not applicable; tests not used	2

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[1] Total adds to more than 100 percent because districts indicated they used multiple methods. Weighted base N for the last item is 13,061, while the base for the other responses is 12,831. The item was restricted to mail respondents only. Item nonresponse is 4 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 2.10

MEASURES USED TO ASSESS ADVANCED SKILLS IN READING/LANGUAGE ARTS

What measures do you use to assess advanced skills in reading/language arts for Chapter 1 students?

	Percent of Districts[1]
We do not offer Chapter 1 reading/language arts	6%
Reading comprehension subtest	69
Reading comprehension test	50
End-of-chapter or textbook test	29
Teacher-made test	23
Criterion-referenced test	22
Other locally designed measure(s)	10
Other measures	10

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[1] Total adds to more than 100 percent because districts indicated they used multiple methods. Weighted base N for the first response is 14,803. For the remaining responses, the weighted base N is 13,898. The nonresponse rate is 1 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 2.11

MEASURES USED TO ASSESS ADVANCED SKILLS IN MATHEMATICS

What measures do you use to assess advanced skills in mathematics for Chapter 1 students?

	Percent of Districts[1]
We do not offer Chapter 1 math	30%
A problem solving or applications subtest	75
A problem solving or applications test	46
End-of-chapter or textbook test	24
Teacher-made test	22
Criterion-referenced test	16
Other locally designed measure(s)	9
Other measures	5

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[1] Total exceeds 100 percent because many districts use more than one measure. Weighted base N for the item is 14,828. Weighted base N for those districts offering Chapter 1 mathematics is 10,313. The nonresponse rate is 1 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

of the identification process, because the district's reading program had been nationally recognized a few years earlier.

Little Evaluation Expertise Available at the District Level

Although Chapter 1 evaluation requirements have long sought to track the progress of participants over time, a large proportion of district Chapter 1 coordinators are not well grounded in standardized testing and how to assess the completeness of test score information. For example, district Chapter 1 coordinators were often unable to provide plausible or complete data on testing in the district survey. The survey asked Chapter 1 coordinators to report district Chapter 1 enrollments for grades 2-12, along with pre-test and matched pre- and post-test information available for Chapter 1 students in those grades. The data requested were for the year 1989-90, and the request was made by subject. Major concerns were:

- **District coordinators had a difficult time understanding the numbers that were requested on the survey.** In some cases, the number of Chapter 1 students pretested was greater than the number enrolled in Chapter 1, because districts provided us with the number of all children tested whether they were enrolled in Chapter 1 or not. In other cases, the number of students with matched pre-and post-test scores exceeded those pre-tested, because districts reported the total number of student tests for the post-test, not matched pre-and post-test scores. Such misunderstandings occurred in about 20 percent of the cases.

- **Where data are internally consistent** (e.g., where the number of students with pre- and post-test information does not exceed the number with pre-test information), **the results were, nevertheless, quite implausible.** For example, 38 percent of districts reported that they had matched pre- and post-test data in reading for all students in 1989-90. It seems highly unlikely that every Chapter 1 student in more than 4,500 school districts was tracked down for a post-test. Districts may have recorded only the number of students for which complete information was available. Thus, the number of students enrolled was actually the number for whom complete testing information was available. This was done in one district we visited. Some 104 students appeared in each category, yet the district had three sizable elementary schools, each operating as a schoolwide project.

Having matched test data on hand is also a low priority for Chapter 1 coordinators. In few cases were the data easily retrievable, and many districts reported spending substantial hours compiling the data we requested. There was also sizable nonresponse to the items. In both reading and math, between 11 percent and 13 percent of districts provided neither pre-test nor matched pre-test and post-test data; 29 percent provided no data on sustained effects (that is, matched test score data for three data points).

The difficulties that Chapter 1 coordinators had with the district survey may be explained in part by the limited evaluation expertise available in most districts and the small amount of time that many Chapter 1 coordinators spend on Chapter 1 administration.

- **Only 5 percent of all districts support some evaluation staff with Chapter 1 funds** (see Exhibit 2.12). Because larger Chapter 1 budgets allow for more specialization of staff functions, it is not surprising that 57 percent of districts with 25,000 or more students support at least a part-time person in evaluation. Few evaluation personnel were found in smaller districts. Just over 20 percent of districts with 10,000 to 25,000 students support evaluation staff, and fewer than 10 percent of smaller districts support any evaluation staff.

- **Chapter 1 coordinators do not spend much time administering Chapter 1, including its evaluation.** Fifty-five percent of all Chapter 1 coordinators estimated that they spend not more than 10 percent of their time on administration.

Developing and effectively using multiple measures to identify schools may well be beyond the present capabilities of most school districts.

Problems that Resist Improvement

When district coordinators described the characteristics of their schools in need of improvement, the list of problems that they gave were frequently beyond the scope of any program to solve. Such besetting conditions as drugs and alcohol, third generation public assistance families, pervasive poverty, and high mobility are characteristic of what one principal called "lives in need of improvement." In planning for school improvement, such problems as these are very difficult for school personnel to address. Teachers in one school designated as needing improvement responded, "Test scores do not take into consideration the fact that many children live in homes with no heat and no electricity nor that some students do not eat any meals except for those served in school." In another district, teachers cited a mobility rate in

Exhibit 2.12

EVALUATION STAFF SUPPORTED BY CHAPTER 1, BY DISTRICT ENROLLMENT SIZE

Within each enrollment category, what percent of districts support some evaluation staff with Chapter 1 funds?

Total District Enrollment	Percent of Districts[1]
All districts	5%
25,000 students and above	57
10,000 to 24,999 students	21
5,000 to 9,999 students	9
2,500 to 4,999 students	8
1,000 to 2,499 students	4
Fewer than 1,000 students	1

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[1] Weighed base N is 10,678. Item nonresponse is 22 percent.

This item was only asked on the mail survey.

Figure reads: 57 percent of the largest districts support some evaluation staff with Chapter 1 funds, whereas only one percent of districts with less than 1,000 students support evaluation staff.

Source: District Survey of Chapter 1 Implementation, 1990.

one school that had 700-900 transfers in and out during the school year with an average population of only 700 students.

State Role in Program Improvement

The provision that the third year of a school's failure to improve would bring the State Chapter 1 office into a joint planning process with the district seemed to represent a major, and not always welcome, unknown for the respondents in the on-site research. "What are we supposed to do with [schools in need of improvement]," asked one state Chapter 1 director. "If the teachers can't fix them and the district can't fix them, what makes anybody think we can?" Other state directors wondered how their staff, already pared to the minimum, would handle one more burden.

However, one state took a totally different view. Here, the state had a new director who was convinced that many districts in the state were diluting their programs by providing services in too many schools and at too many grade levels. The director believed also that relying on paraprofessionals to deliver services was further weakening the program in these districts. This state director was very enthusiastic about the prospect of joint State Departement of Education (SEA) and district planning. "Program improvement is the best thing that ever happened. At last, the SEA will be powerful in improving programs." In harmony with the program provisions of the new law, this director had hired two new staff, both with excellent credentials in the realm of technical assistance and was looking forward to "bringing some really good expertise to bear on the problems of these schools." Even this director, however, admitted that the expertise was a little thin. With each of the state consultants responsible for 60 districts, it was going to be difficult for staff to find the time to undertake a joint SEA-district planning process.

Four other states, although apprehensive about entering into the joint SEA-LEA planning process, also were making some preparations for involvement. For example, the state director in one southern state was contemplating "Plan A and Plan B" for restaffing the state Chapter 1 office. Plan A called for hiring staff with program improvement expertise in the expectation of an increased role in that direction while Plan B would simply augment the existing regional staff and give them additional program improvement responsibility. Another southern state, anticipating its role in program improvement, plans to use the self-assessment form employed in its state compensatory program as a starting point with schools implementing joint plans.

A third (and large) state has already requested three additional staff to deal with the anticipated burden of joint LEA/SEA plan preparation. They have also released a state program improvement plan that outlines a strategy for developing plans that contain components related to training, implementation, and maintenance. The training component focuses on the state identifying common areas of need among schools in need of improvement and then clustering technical assistance efforts. The implementation component emphasizes system administrative support from the state and regular feedback on the results of ongoing evaluation efforts in the district. Finally, the maintenance component calls for schools that test out of program improvement to develop a plan for maintaining the progress they have made.

Very few conclusions can be drawn about activities in Chapter 1 schools in need of improvement because very few activities have been concluded and many have not even been implemented. A few districts involved in the on-site research have realized the powerful potential of the school improvement provisions as leverage for school change. But most have chosen to proceed delicately and deliberately along the path of school improvement, not yet convinced that they have been given the right tool or, in some cases, that they know how to use it.

STUDENT PROGRAM IMPROVEMENT

The Hawkins-Stafford Amendments for Chapter 1 also require that districts identify students who have been served for a school year, yet whose performance declines or does not show substantial progress toward meeting the district's desired outcomes. At that time, districts must also consider revisions to the Chapter 1 program. If after two years these students still have not achieved improved test scores or substantial progress toward desired outcomes, the district must conduct a needs assessment and revise services as appropriate (34 CFR 200.38).

Perhaps because of the level of activity surrounding the identification of schools in need of improvement or perhaps because of the two-year specification, states have done little to implement the requirement. Of the nine states visited, some have urged districts to use existing processes, such as culling information from sustained effects studies or relying on meetings that classroom teachers and specialists (including Chapter 1 staff) regularly hold to address the needs of all children who are not succeeding in school. Others have not yet decided whether the issue is a state or a local responsibility. Some have only identified the children who fall into this category, but have not done anything else. Only one of the site visit states reported a comprehensive effort: districts submit the names of students to the state, document the needs assessments that have been conducted, and record the program modifications that have been instituted.

Responses from the national survey of district Chapter 1 coordinators indicate that, in assessing the needs of students who remain in the program for two years but do not show progress, districts are about evenly divided among those having completed procedures, those currently developing procedures, and those that had not begun to develop procedures (Exhibit 2.13). Data obtained from site visits to districts suggest that these answers be treated with caution. Most had done nothing yet; and in some districts, both district and building staff professed total ignorance of the issue. A handful of districts had the names of students who had not shown gains after two consecutive years. These districts were content, at least for now, to keep a list of such students and, as one district administrator phrased it, "wait for the provisions to go away or get more direction." Some staff pointed to existing procedures that could be used to fulfill the requirement. For example, one school has regular meetings among teachers to discuss students who are having difficulties. Teachers try out recommended approaches and report back on their efforts. In another school, a principal has an extensive, computerized data base on each child who attends his primary school. He systematically matches services to children's needs as measured by multiple indicators.

Two types of comments that emerged from field interviews are worth noting here. On the positive side, some staff had high expectations for the idea of a student-level program improvement process, particularly in light of the perceived shortcomings of school-level assessments. As one local coordinator said:

> I think it's a pretty good thing to look at which kids didn't make gains. I don't mind doing that . . . . Our goal is for kids to be successful in the regular classroom, not on a standardized test. . . . I don't have a problem with program improvement and individual student achievement [provisions]. That's healthy. But we always did it.

Exhibit 2.13

PROCEDURES TO ASSESS EDUCATIONAL NEEDS OF CHAPTER 1 STUDENTS

Has this district established procedures for assessing the educational needs of individual Chapter 1 students who have remained in the program after two consecutive years and have not shown achievement gains?

	Percent of Districts[1]
This district has completed procedures	28%
This district is currently developing procedures	35
This district has not begun to develop procedures	37
Total	100%

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[1] The weighted base N for the number of districts is 14,339. The nonresponse rate is 4 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

The other type of comment presents the potential for some very disturbing consequences. In speculating about activities the school or district would institute to implement this provision of the law, some staff mentioned the possibility of placement in special education programs. It is unclear whether they were considering this because (1) children who needed special education services had been erroneously assigned to Chapter 1 or (2) sending children to special education would be a way of removing them from the Chapter 1 program.

CHAPTER THREE

SCHOOLWIDE PROJECTS

OVERVIEW

In a schoolwide project, an option available to schools with very high concentrations of poverty (at least 75 percent poverty), Chapter 1 funds may be spent in a way that benefits all students in the school, without regard to their individual degree of educational deprivation. Schools are using this option to strengthen their regular education programs in a number of ways, with reduced class size and staff development among the most popular means. They are also using it to permit different arrangements for supplemental services, such as inclass aides who work with all students or pullout services that are offered on an as-needed basis to flexible groupings of students. Enthusiasm for these alternative designs is the major reason for launching and continuing schoolwide projects.

This chapter discusses the law's provisions, the rate at which districts are choosing schoolwide projects, the components found in these projects, their perceived advantages, their perceived shortcomings, sources of initiative for starting schoolwide projects, and the effects of the legal provisions concerning accountability and parent participation in planning.

Key findings include the following:

- The number of schoolwide projects has grown rapidly, from 621 schools in 1989-90[1], to 1,362 schools in 1990-91. Among those districts with eligible schools, the largest districts are most likely to participate.

- Components commonly found in schoolwide projects include reduced class size, supplemental services that have flexible selection procedures, special "name brand" programs such as Success for All, staff development, addition of new professional staff such as counselors or program coordinators, and new services for parents.

- The perceived advantages include eliminating Chapter 1 program features that school staff dislike, and using the funds to benefit the whole school program in ways that range from equipment purchase to school-based management.

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[1] Turnbull, Brenda J., Shepherd Zeldin, and Todd Cain, State Administration of the Amended Chapter 1 Program. Washington, DC: U.S. Government Printing Office, August, 1990.

- Concerns expressed about this option at the state and local levels include apprehensiveness about the gusto with which some superintendents are embracing it, and the related worry that services will be diluted and low-achieving students will suffer.
- SEA Chapter 1 offices vary in the vigor with which they promote the option. District offices tend to be enthusiastic. Compared with district staff, principals are less often the prime movers for schoolwide projects.
- The requirements for accountability and for parent involvement in planning have had few visible effects as yet.

SCHOOLWIDE PROJECT PROVISIONS OF THE HAWKINS-STAFFORD AMENDMENTS

The authorization for schoolwide projects first appeared in the 1978 amendments to Title I. The original idea drew on the early effective schools research, which pointed to the value of a building-wide focus on educational goals as a way of improving outcomes for individual students. The 1978 amendments permitted a district to operate a schoolwide project in a school that had at least 75 percent of the children in its attendance area or 75 percent of its student enrollment living in poverty. However, both the SEA and the district parent advisory council had to approve the district's plan for the schoolwide project, and, of particular importance, the district had to contribute extra state and local funds to the school.

The Hawkins-Stafford Amendments are the first version of Title I/Chapter 1 to permit districts to operate schoolwide projects without contributing extra funds from the regular district budget. The amendments also differ from previous law in limiting schoolwide projects to three years unless those students who would qualify for Chapter 1 services under a conventional design perform at a level that is (a) higher than in other Chapter 1 schools in the district or (b) higher than the school experienced before it had a schoolwide project. There is also a requirement for planning with parents, although a parent group no longer exercises approval or disapproval authority over the schoolwide project design. Thus, while the removal of the matching requirement makes it easier for districts to adopt schoolwide projects, the new accountability and parent participation requirements, as well as the continuing requirement for

SEA approval of schoolwide project applications, are meant to impose three kinds of checks on projects that may be poorly designed and ineffective.

RATE OF PARTICIPATION IN THE SCHOOLWIDE PROJECT OPTION

Nationwide, the number of schoolwide projects has burgeoned since the implementation of the new provisions. Survey data show that there are an estimated 1,362 schoolwide projects in operation in 1990-91--about twice the number that existed in the previous year. Of these, the vast majority (1,179) are in elementary schools, which typically are the schools with the highest rates of proverty based on free or reduced-price lunch counts. However, some schoolwide projects are found in schools serving all grade levels (Exhibit 3.1).

Ten percent of Chapter 1 school districts have at least one school that is eligible to be a schoolwide project on the basis of its poverty level (Exhibit 3.2). The percentage is much higher, 63 percent, among the largest districts (with 25,000 or more students). This is to be expected because many of these districts have high poverty rates and simply because the larger number of schools in such a district increases the probability that at least one will qualify for this option.

Overall, 29 percent of districts with at least one eligible school (that is, 2.8 percent of all Chapter 1 districts) are currently operating a schoolwide project (Exhibit 3.3). Larger districts, in addition to having more eligible schools, also have higher rates of participation. This is particularly noticeable in districts with enrollments greater than 25,000, where 62 percent of those districts having eligible schools are operating one or more schoolwide projects. Combining the data on districts this size across the two exhibits, we find that a total of almost 40 percent of all districts with more than 25,000 enrollment have at least one schoolwide project, in contrast to about 4 percent of Chapter 1 districts overall. No other district size category comes close to this high level of participation. Indeed, in our visits to several large, urban districts we found a high level of enthusiasm for schoolwide projects among the district leadership (discussed later in this chapter, in connection with the sources of initiative for schoolwide projects).

Exhibit 3.1

NUMBER OF SCHOOLWIDE PROJECTS NATIONWIDE

How many Chapter 1 schoolwide projects are operating in 1990-91 in each of the following types of schools?

	National Estimate of Schools[1]
Elementary schools	1,179
Middle or junior high schools	128
High schools	44
Combined junior and senior high schools	1
Combined elementary/secondary schools	10
Total	1,362

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[1] Weighted base N of districts is 408. Nonresponse rate is 0 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 3.2

DISTRICTS WITH SCHOOLS ELIGIBLE FOR SCHOOLWIDE PROJECTS

Does this district have any schools with at least 75 percent of the students living in the attendance area or enrolled in the school who are from low-income families?

Total District Enrollment	Percent of Districts[1]
25,000 and more students	63%
10,000 to 24,999 students	26
5,000 to 9,999 students	18
2,500 to 4,999 students	12
1,000 to 2,499 students	6
Fewer than 1,000 students	8
All districts	10%

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[1] Weighted base N is 14,622, with an item nonresponse of 2 percent.

Figure reads: 63 percent of the largest districts (25,000 and more students) have at least one school eligible to be a schoolwide project.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 3.3

DISTRICTS OPERATING SCHOOLWIDE PROJECTS COMPARED TO THOSE WITH ELIGIBLE SCHOOLS, BY SIZE OF DISTRICT

What proportion of school districts that have eligible schools are operating schoolwide projects?

Total District Enrollment	Percent of Districts[1]
25,000 and more students	62%
10,000 to 24,999 students	38
5,000 to 9,999 students	34
2,500 to 4,999 students	31
1,000 to 2,499 students	36
Less than 1,000 students	15
All districts	29%

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[1] Weighted base N is 1,421 with an item nonresponse of 0 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

COMPONENTS OF SCHOOLWIDE PROJECTS

How are schools using the increased flexibility that schoolwide projects offer? Our visits show a wide range of project components, reflecting different ideas about the type of opportunity that this option provides: in some schools it is seen as an opportunity for programmatic change affecting regular instruction throughout the school building; in others it allows new ways of arranging supplemental services for particular students; and in still others it is a way of supporting an innovative program that the school wants to add, such as Success for All or Higher Order Thinking Skills (HOTS). We discuss here the specific services found in the schoolwide projects we visited, then present survey data concerning the project services that are reported nationwide.

Reduced Class Size

In many schools we visited, although not all, a major element of the schoolwide project is the redeployment of staff so as to lower the size of classes across the board. Classroom teachers are particularly enthusiastic about this way of using the resources. Some say that the smaller class size permits them to offer more creative activities and a richer curriculum; others point to the greater amount of time they can spend with each student individually. For example, a schoolwide project in one southern school groups students by ability for reading. The Reading Recovery teacher, who works individually with only four students each afternoon (under the Reading Recovery program, which provides intensive help to correct early reading problems), teaches reading to a group of first grade students in the morning in order to help reduce the size of reading groups for that grade.

Some schools would like to reduce class size but are unable to do so because of space limitations. They simply do not have the extra rooms to devote to the larger number of classes that would result. In one urban district, delays in hiring new teachers have combined with space limitations to impede class-size reductions in schoolwide projects.

In other cases, class size is reduced selectively. In one building, for example, the district has only permitted reductions at those grade levels where the teachers have expressed a willingness to change their teaching approach (e.g., by emphasizing higher-order skills in reading, by working with each other in joint planning time, and by regrouping students for particular subjects). Some schools in our sample concentrated the class-size reductions in first grade in an effort to catch learning problems early in the children's grade-school careers.

Supplemental Services with a Flexible Selection Policy

Many of the schoolwide projects we visited continue to offer supplemental instructional services. For these schools, the difference since implementing the schoolwide project is that services are targeted flexibly on whatever students need help at the time, without going through a more formal process of student selection. One common design in these schools is that instructional aides work in the regular classrooms, offering help to individuals or small groups as the need arises. Another design found in some schools is that students leave their classroom for supplemental instruction in a pullout setting each day for a relatively short block of time, such as six weeks. In one such school, six weeks of extra service is enough for some students, while other students remain in the program for an additional six weeks.

Adoption of a Special Program

Some schoolwide projects give principals the opportunity to install innovative and relatively costly programs that could not be supported with district funds alone. Success for All, developed at Johns Hopkins University, is one such program that has been integral to the schoolwide projects of two schools we visited: the principals, enthusiastic about adopting the program, pressed their district offices and SEAs to allow them to do so under a schoolwide project. Similarly, the impetus for a schoolwide project in another school was the principal's desire to have all students participate in the Computer Curriculum Corporation computer-assisted instruction previously offered only to Chapter 1 students in that school. Other packaged programs that are major components of some schoolwide projects include HOTS, Reading Recovery, and the Efficacy Program (aimed at enhancing children's self-esteem).

Staff Development

By law, all schoolwide projects must include staff development, but some projects have made this a particular area of focus. For example, the organizer of staff development in an elementary school has arranged a program that is both specialized and innovative:

> Each teacher joins at least one of five committees: counseling, math, language, fine arts, and social studies and science. Each committee head receives a journal subscription in order to keep up professionally. Because the person in charge of staff development was bored with presentations by consultants, she videotaped students from committee members' classrooms. One day she videotaped the children in the math classes taught by all members of the math committee. Then one morning she showed the videos to the teachers and a math consultant, and they all talked about how students responded to questions, how manipulatives were used, and so on.

In other schools, teachers are allowed and encouraged to attend a wide range of workshops.

Additional Professional Staff Members

Besides adding teachers and instructional aides, several schoolwide projects add other types of staff members. Counselors and social workers are part of the projects in some schools. In some cases, they work on strengthening the relationship between the school and families through means such as visits to students' homes.

In some districts, each schoolwide project has a person on-site who coordinates the project. Called an Instructional Resource Teacher in one district and a "teacher on special assignment" in another, this individual leads--or at least keeps track of--the special activities funded through the schoolwide project. In our observation, these people sometimes contribute a great deal to the sense of enthusiasm and purpose around the schoolwide project. On the other hand, it is sometimes hard to distinguish their role from the role that a principal would play as instructional leader, and we wonder whether their presence may perpetuate a sense that Chapter 1 is somehow still separate from the regular business of the school.

Parent Activities

The scope and intensity of activities for parents in schoolwide projects are highly variable. In some schools, parent involvement is virtually a formality. In others, however, it is extensive. For example, the parents of children in one school have designed a parent center with a television, VCR, telephone, and play area for toddlers and preschoolers. Parents will be able to drop in to this center, meet other parents, and exchange ideas--as well as attend workshops on subjects such as parent-teacher conferences and how to read a report card. Other schools have active parent volunteer programs. In one of these, the volunteer parents have a room at the school where they work on GED preparation while waiting for specific assignments.

In a district that has several schoolwide projects, teachers in some of the schools routinely visit each student's home at least once during the year. They point to reduced class size as the program feature that enables them to do this, saying they would be unable to visit all the homes of the students in a conventional-size class.

Combining Components

Some schoolwide projects combine a number of these components. In one school, as described earlier, the Reading Recovery teacher teaches a group of first grade students, thus helping to reduce the size of reading groups. Also all classes attend a computer lab for 25 minutes daily, accompanied by their classroom teacher. Floating aides assist classroom teachers by working with individual students and small groups. Furthermore, instructional materials and manipulatives are being placed in all classrooms.

Another schoolwide project operates in an elementary school of 850 students, 98 percent of whom come from low-income families. Reduced class size is the most obvious change under this project: the pupil-teacher ratio is 14 to 1 in grades one through three and 20 to 1 in grades four through six; kindergarten classes are capped at 14, with provision to add an assistant if that number is exceeded. The school has added a full-time science teacher and a computer lab. Staff development is a key component, and teachers can attend virtually any workshop or class. Any student now attending the school is guaranteed a place in the building, even if his or her family moves outside the attendance area (thus decreasing mobility).

Other changes in this school include the managerial style of the principal, which stresses teacher initiative and cooperative decision making. Teachers are encouraged to propose anything they would like to do; they have tried cooperative learning, whole-day literacy, and process writing. A sixth-grade teacher proposed and hosted a read-a-thon where some 60 students spent a Friday evening in the school library, reading. Guest readers included the mayor, a state beauty queen, a newspaper reporter, and a poet. The event received front-page coverage in the local paper. Parent involvement also has a special place in the schoolwide project; this is the school that is setting up the drop-in center for parents described above. All in all, the vitality and excitement among teachers and parents are striking in this physically decrepit school.

Survey Findings on Components of Projects

Since the respondents to our survey were located in districts, not schools, they are not the ideal source of information about the components of schoolwide projects. Nevertheless, Exhibit 3.4 shows the percentage of districts in which each of several types of service is reported to be a major component of at least one schoolwide project. Programs of parent education, somewhat surprisingly, top the list. Our site visits included few examples of such programs, and we speculate that survey respondents may have been thinking of the parent involvement that is required as part of a schoolwide project plan.

Next on the list are several program elements focusing on student grouping or curriculum, consistent with our observation that classroom arrangements frequently change when schoolwide projects are introduced. Just over half of districts report that they regroup students for reading or math as part of at least one schoolwide project. Based on the schools we visited, this may refer in many cases to the more flexible arrangements for supplemental services that have replaced previous Chapter 1 services.

Finally, the least common elements of schoolwide projects are early childhood services and extensions of the school day.

In a separate analysis of the responses of those districts that have just one schoolwide project compared with those that have more than one, we find few differences. The only areas in which their responses differed were an emphasis on "accelerated learning" or higher-order skills, visits to students' homes, and prekindergarten or kindergarten services--all of which were more common in those districts having more than one schoolwide project. This could mean that such districts have organized to provide these program components districtwide, or that they are more likely to contain one school (among several) that offers these components. Either interpretation is plausible. The main point, however, is that the rank-order of services that are part of schoolwide projects would not change much if we had school-by-school data.

We also asked districts to report on the presence in their schoolwide projects of various characteristics associated with the research on effective schools. As Exhibit 3.5 shows, districts

Exhibit 3.4

SERVICES PROVIDED UNDER SCHOOLWIDE PROJECTS

Which of the following services were introduced or significantly strengthened in any school in this district when it began a Chapter 1 schoolwide project?

	Percent of Districts[1]
Parent education programs	73%
Regrouping of students for reading or math	54
Heterogeneous student groups	52
Emphasis on "accelerated learning" or higher order skills	48
Reduced class size	43
Student support services such as guidance	38
Visits to students' homes by school personnel	32
Pre-kindergarten programs or a full-day kindergarten	14
An extended school day	14
Other	12

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[1] Total adds to more than 100 percent because respondents chose multiple answers. The weighted base N is 407. Nonresponse rate of 0 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 3.5

CHARACTERISTICS OF SCHOOLWIDE PROJECTS

Which of the following school characteristics do any of your schoolwide projects emphasize through such activities as needs assessment, staff development, changes in classroom instruction, or changes in school management?

	Percent of Districts[1]	
	Mark All That Apply	Mark The Top Ranked One
Raising staff expectations for student achievement	92%	34%
Providing strong instructional leadership	73	28
Attaining a broadly understood instructional focus	67	13
Improving academic learning time	78	9
Emphasizing basic skills acquisition	59	5
Monitoring student achievement to evaluate program success	89	4
Promoting staff collaboration and congeniality	79	3
Improving parental support	84	2
Attaining a safe and orderly school climate	52	2
Total		100%

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[1] In the first column, the total adds to more than 100 percent because respondents chose multiple answers. The weighted base N for the first column is 394, for a nonresponse rate of 0 percent. The weighted base N for the second column is 327, for a nonresponse rate of 17 percent. The weighted base N reflects districts returning the mail surveys; it does not include telephone respondents (another 12 districts with schoolwide projects).

Source: District Survey of Chapter 1 Implementation, 1990.

commonly reported that they have many of these components, but when asked to choose the most important one, they converge on staff expectations for student achievement and instructional leadership. Districts have clearly attended to the requirements associated with schoolwide projects (and with Chapter 1 in general), such as monitoring student achievement and improving parental support, but they seldom cite these as their leading goals for schoolwide projects.

PERCEIVED ADVANTAGES OF SCHOOLWIDE PROJECTS

Schoolwide projects are popular for several reasons. When asked to cite their advantages, those survey respondents who saw advantages (constituting 85 percent of all those who had considered having a schoolwide project) most commonly said that they like the idea of using Chapter 1 resources to change the school's overall educational program (Exhibit 3.6). A smaller proportion, but still a majority, said they like extending existing Chapter 1 services to higher-achieving students. Our visits to schoolwide projects suggest another way of looking at the advantages: many principals and teachers are especially enthusiastic about doing away with what they saw as negative features of their previous Chapter 1 services, while many also see schoolwide projects as an opportunity for both small and large improvements in the overall school program. We elaborate on these perceived advantages in this section.

Eliminating Pullouts

While the Chapter 1 law and regulations do not require that services be delivered in a pullout setting, many principals and teachers did not feel free to eliminate pullouts until they had a schoolwide project. These educators are, in general, delighted with the change. They characterize their previous Chapter 1 services as having been disruptive to regular classes, and they are now glad to provide services that do not label or stigmatize particular students.

In one school visited, for example, the previous Chapter 1 program consisted of a 15-station computer lab which eligible students were pulled from their classrooms to attend. Classroom teachers were frustrated with this arrangement because their classes were disrupted several times a day by students leaving for their Chapter 1 lessons. Furthermore, the teachers were uninformed about the work their students were doing in the computer lab. With the

Exhibit 3.6

PERCEIVED ADVANTAGES OF SCHOOLWIDE PROJECTS

In this district, what are the advantages, if any, of Chapter 1 schoolwide projects?

	Percent of Districts[1]
District policymakers see no advantages to schoolwide projects	15%
District policymakers like using Chapter 1 resources to change the school's overall educational program	91
District policymakers like extending existing Chapter 1 services to higher-achieving students	56
Our students demonstrate good performance in a schoolwide project	39
Under previous requirements, district policy makers liked the idea of giving the school local matching funds	11
Other	8

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[1] Total adds to more than 100 percent because respondents chose multiple answers. The weighted base N for the first response is 652. The weighted base N for the other responses is 555. The nonresponse rate for the item is 4 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

establishment of a schoolwide project, the school bought more computers and allowed all students to attend the lab. Classes are no longer interrupted by pullouts, as entire classes attend the computer lab accompanied by the classroom teacher. Additionally, teachers are more aware of the academic achievement of their students in the lab because they accompany their students to the lab and monitor their work.

Flexible Selection for Supplemental Services

As we have already discussed, supplemental services do not necessarily disappear when a school moves to a schoolwide project. However, the procedures for targeting services do change, and the teachers and principals are generally pleased with this change as well. They comment that they can provide special help for students as the need arises, without either going through the regular needs assessment cycle or circumventing the law. (One principal acknowledged that she had always allowed Chapter 1 inclass aides to work with anyone who seemed to need help: "I always did it, and now I don't have to lie about it.") Some also comment that the more flexible service arrangements enable them to emphasize prevention more than remediation in their programs.

Integrating Chapter 1 as a Resource for the School

The advantages derived from using Chapter 1 dollars across the whole school program range from small matters to large ones. Several principals are glad that all students can now use the Chapter 1-funded equipment, such as computers, and materials, such as manipulatives. One schoolwide project purchased cages and animals for all classrooms, with the result that many children have become excited about biology lessons. Another perceived advantage of schoolwide projects is the opportunity to involve regular classroom teachers in Chapter-1-funded staff development--something that is permissible under the regular program requirements but that many schools or districts would be hesitant to do without the encouragement that the schoolwide design provides.

At the more elaborate end of the scale are the schools that see their schoolwide projects as vehicles for introducing school-based management. Some are providing workshops on this topic, seeking to involve all the faculty in preparation for bigger steps toward school-based management.

CONCERNS ASSOCIATED WITH SCHOOLWIDE PROJECTS

The negative side of schoolwide projects includes the possibility that funds are being spread too thin. Although our study design does not give us enough data to determine the extent of this problem, we did learn that the Chapter 1 officials in SEAs who review schoolwide project plans have seen cause for this concern in some applications. In several cases, they report, the weak or troublesome applications have come from large urban districts whose superintendents encourage principals to pursue the option aggressively. The state officials are concerned that schoolwide projects may be embraced by educators who have never liked the idea of targeting funds on the students in greatest need. State officials sometimes expressed themselves colorfully on this point, saying that schoolwide projects can potentially offer "a money tree" or "a license to supplant." One characterized the sentiments of urban principals in writing their applications as, "Oh boy, let it rip!"

Concerns that schoolwide projects may simply dilute the available resources are not confined to the state level. Some local Chapter 1 coordinators expressed a similar concern. One argued that his district should take a more thoughtful and focused approach to the use of the option, rather than investing so heavily in additional personnel for the regular instructional program: "Reduced class size gets the big bucks. We should be moving the focus from a lower student/teacher ratio to site-based management, computer-assisted instruction, and technology-based education."

Other district coordinators also worry that their schoolwide projects do not adequately serve the lowest-achieving students. Indeed, some projects that we saw appear to bear out this concern--for example, the one that offers special services largely to the highest achievers.

Finally, district offices have been reluctant to allow some schools to operate schoolwide projects because their principals are weak and would not, in the district's estimation, make good use of the option.

SOURCES OF INITIATIVE FOR SCHOOLWIDE PROJECTS

States

While just 28 percent of those districts having eligible schools are operating schoolwide projects, the percentage is much higher--65 percent--among those whose state education agencies have encouraged them to consider the option. Our site visits included several examples of districts and schools that have had state encouragement for schoolwide projects. Some state consultants are particularly enthusiastic about the option and have made a point of discussing it with certain schools. In some of the states we visited, special memos and notices have been sent out describing the advantages of schoolwide projects; meetings have been convened; and visits arranged to operating projects.

The message of this state encouragement is not that schoolwide projects are for everyone. Two states--where the coordinators are enthusiastic about the option--give special emphasis to the amount of work required, especially in planning. They say that no one should embark on a schoolwide project without taking it seriously and being prepared to work extremely hard. In another state, the state-arranged visits to a district that operates several schoolwide projects have inadvertently discouraged principals from other districts. In interviews, they told us the visits led them to conclude that they would be unable to make such a complicated program work well.

At the same time, some other states exhibit only lukewarm enthusiasm for the option of schoolwide projects. They are wary of pressure from superintendents, concerned about supplanting or the dilution of services, and anxious about the eventual effects of the accountability requirement. They have communicated these worries to some of the districts that are considering the option. As one principal says, reflecting on the fact that she has been unable to prevent second graders from showing achievement losses under her current Chapter 1 design, "I wouldn't want to say I'm going to make gains.... [The SEA] was saying you have to show constant improvement [in a schoolwide project], and the second grade losses frightened us off."

Districts

Districts are often the prime movers for schoolwide projects. Indeed, sometimes an individual in the central office with a flair for grant writing takes the lead in planning a schoolwide project, with only a cursory version of the participatory planning described in the law and regulations. In other cases the planning is a joint effort by district- and school-based staff. For example, the development and planning of one schoolwide project took one and one-half years and involved school staff, parents, community officials, and a district staff member. District staff told us they could have written the plan themselves but wanted to develop a sense of ownership among those whom the program would affect.

Schools

We found several examples of principals who were the main force behind their schoolwide projects, although district initiative is more common than school initiative within our sample. In several of these cases, the principal knew about a particular program he or she wanted to implement and saw the schoolwide project as a good funding vehicle for that program.

Missing from the process of initiating schoolwide projects, at least in this sample, were teachers and parents. Of course these are the people least likely to hear about specific provisions of the Chapter 1 law and regulations, such as the schoolwide option. At this point, they have few sources of information that would introduce the option to them directly.

THE ACCOUNTABILITY REQUIREMENT

Despite the fairly stiff accountability requirement in the new law, district and school staff are not particularly apprehensive. Judging from our site visits, very few understand the specific provisions of this requirement. Some are familiar with the requirement and are confident they can meet it; most expect that they will figure it out when the time comes. Concerns about accountability will no doubt increase as schoolwide projects finish their third year of operation. Many of the schoolwide projects we visited were midway through their second or third year of operation, but even those in their third year had given the requirements little thought at the time our midyear visits.

PARENT INVOLVEMENT IN PLANNING SCHOOLWIDE PROJECTS

Parents' role in planning schoolwide projects is another aspect of the new law that has had much less effect than its creators probably envisioned. In most of the sites we visited, parent involvement in planning had been token at best, consisting of a poorly attended meeting or two. While several of the schools are now offering a substantial array of programs for and with parents, the involvement of parents on the ground floor of project planning is seldom a reality.

CHAPTER FOUR

PARENT INVOLVEMENT

OVERVIEW

About the time that the Hawkins-Stafford Amendments of 1988 were passed, educators, policymakers, and others were paying increased attention to the roles of parents in the education of their children. A significant portion of districts reported that they provided activities for Chapter 1 parents before the amendments; however, both the proportion of districts reporting activities and the variety of activities increased since the amendments were passed.

The history of parent involvement in Title I and Chapter 1 reflects the changes in federal requirements and state and local responses to those requirements. When parent involvement was first mandated in Title I in the mid-1960s, districts were required to involve parents in planning, operating, and assessing projects. Parent involvement was intended in part to enable low income parents to monitor school districts reluctant to provide services to their children. Over the next several years, requirements were extended from the district to the school level. In 1974, in response to concerns that meaningful parental involvement had not been achieved through existing legislative requirements, Congress amended Title I to specify numerous procedures for involving parents, including elected school advisory councils.

When Chapter 1 was enacted in 1981, the trend toward increasing specificity of procedures for involving parents was reversed, leaving only a mandate to consult with parents that could be satisfied with one annual meeting. Districts could provide "assurances" that local programs were consulting with parents about design and implementation. Parent involvement activities decreased substantially. The Hawkins-Stafford Amendments are an attempt to reintroduce, through legislative provision, meaningful--and documented--parent involvement activities at the district and school levels.

Among the types of parent involvement mandated are:

- informing individual parents about the content and goals of their child's program, as well as about the child's progress;
- formal consultation with parents on 1) the Chapter 1 project as a whole; 2) the local plan for improving the program in a

school in need of improvement; and 3) the design and implementation of a schoolwide project;

- support for parents' efforts to work with their children; and
- annual assessment of parent involvement activities.

Key findings from the District Survey of Chapter 1 Coordinators include:

- Two-thirds of district Chapter 1 coordinators report pursuing all four Hawkins-Stafford objectives. The single most important objective in 52 percent of districts was communicating with parents about their own children's progress in Chapter 1.
- More districts report parent involvement activities in 1990-91 than in 1987-88. In 1990-91, almost three-quarters of the districts disseminated home-based education activities, compared with only 46 percent of the districts in 1987-88. In addition, in 1990-91, 22 percent of the districts linked their Chapter 1 programs with programs providing adult literacy skills, compared with 9 percent of the districts in 1987-88.
- The intensity and variety of parent involvement activities vary across districts, with the largest districts more likely to offer more activities.
- The largest districts are more likely to fund parent specialists. Twelve percent of all districts support parent involvement coordinators with Chapter 1 funds, while two-thirds of the largest districts support such personnel.
- Among the parent activities supported are orientation meetings, parent advisory councils, newsletters, workshops, parent education programs, translations for non-English speaking parents, and take-home activities.
- Almost all districts assess the effectiveness of Chapter 1 parent involvement through attendance at Chapter 1 activities.

Based upon field work in 27 districts (and two schools in each district), effective parent involvement programs share a number of features:

- effective leadership;
- unusually dedicated staff;
- a welcoming and respectful attitude toward parents; and
- recognition of the special needs of disadvantaged parents.

Most schools with comprehensive parent involvement activities initiated their efforts prior to the Hawkins-Stafford Amendments. The remainder of the chapter elaborates on the findings from the national survey and on-site field work.

OBJECTIVES OF PARENT INVOLVEMENT

As stated in the Hawkins-Stafford Amendments: "Congress finds that activities by schools to increase parental involvement are a vital part of programs." Toward that end, Congress specified several objectives for parent involvement, including:

- communicating with individual parents about their own children's progress in Chapter 1;
- training parents in ways to help their children at home;
- communicating the key features of the Chapter 1 program; and
- having parents advise schools about the Chapter 1 program.

When asked to indicate multiple objectives for parent involvement, two-thirds of district coordinators report that all four objectives are pursued in their districts. In practice, however, individual states and districts typically emphasize one or two objectives over the others, depending upon state or district philosophy or available staff expertise. Exhibit 4.1 summarizes how district Chapter 1 coordinators respond to questions about the four objectives. When asked to indicate the single most important objective of parent involvement, 52 percent of the districts report "communicating with individual parents about their own children's progress in Chapter 1;" over a quarter (28 percent) report "training parents in ways to help their children at home" as the single most important objective. Other single most important objectives cited by districts

Exhibit 4.1

OBJECTIVES OF CHAPTER 1 PARENT INVOLVEMENT

Which of the following parent involvement objectives is this district pursuing this year? Which is the district's major focus?

	Percent of Districts[1]	
	An Objective	The Major Focus
Communicating with individual parents about their own children's progress in Chapter 1	95%	52%
Training parents in ways of helping their children at home	81	28
Communicating the key features of the Chapter 1 program to all parents, for example, through an annual meeting	97	17
Having parents advise the Chapter 1 program	81	3
Other	4	0
Total		100%

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[1] In the first column, the total exceeds 100 percent because districts marked more than one response. Weighted base N for the first column is 14,819. For the second column, the weighted base N is 12,423. The nonresponse rate for the first column is less than 1 percent. The nonresponse rate for the second column is 17 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

include "communicating the key features of the local Chapter 1 program" (17 percent), and "having parents advise schools about the Chapter 1 program" (3 percent).

The central objective varies by the size of the district. A higher proportion of large districts (with enrollment greater than 10,000 students) report that training parents to help children at home is the major focus. For 60 percent of the largest districts (enrollment of 25,000 or more), this is the major focus. Sixty percent of the smallest districts (enrollment of 1,000 or fewer) indicate that their major objective is to communicate children's progress to parents.

The major focus does not vary by the poverty level of the district. The rank ordering remained the same across each poverty quartile although the highest poverty districts were more likely than others to say that parent training was the major focus (38 percent of high poverty districts).

Data from site visits show how these broad objectives are translated into state- and district-specific goals. The reasons states and districts say they provide parent involvement activities range from compliance with the federal law (or the state's articulation of the federal law), to helping children succeed in schools, to improving school-community relations. Across the board, two objectives are commonly cited: one is to convince teachers and parents alike about the important role parents play as their children's first teachers, and the second is to promote parental involvement in children's formal educational experience.

CHANGES IN PARENT INVOLVEMENT ACTIVITIES BETWEEN 1987 AND 1990

Survey data illuminate the changes in the proportion of districts providing parent involvement activities between 1987 and 1990. These two years were chosen to reflect the years just before and just after the enactment of the Hawkins-Stafford Amendments. These data do not offer information on the extent or intensity of the activities within districts, but rather on whether the number of districts offering activities has changed.

Exhibit 4.2 presents survey data for the 1987-88 and 1990-91 school years comparing activities related to parent involvement. Activities listed were among those cited in the legislation as allowable activities. For 1990-91, nearly three-quarters (73 percent) of the districts reported that they disseminate home-based educational activities to reinforce classroom

Exhibit 4.2

CHANGES IN CHAPTER 1 PARENT INVOLVEMENT ACTIVITIES, 1987-88 AND 1990-91

During the school years 1987-88 and 1990-91, did your district have or does it plan to have each of the following activities related to Chapter 1 parent involvement?

	Percent of Districts[1]	
	1987-88	1990-91
Dissemination of home-based education activities to reinforce classroom instruction	46%	73%
Parent advisory council	64	65
Use of parents as classroom volunteers, tutors or aides	40	53
Utilization of designated liaison staff to work with parents, training teachers, or coordinate parent involvement activities	32	47
Linkage with other programs providing adult literacy skills	9	22
Special activities or strategies for parents who lack literacy skills or whose native language is not English	11	22
Parent resource center	6	16
Other	7	10

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[1] Total exceeds 100 percent because districts marked more than one response. The weighted base N for 1987-88 is 12,372, while the weighted base N for 1990-91 is 14,446. The nonresponse rate for the first column is 17 percent. The nonresponse rate for the second column is 3 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

instruction; in 1987-88, only 46 percent of districts reported this activity. Sixty-five percent of districts report having parent councils, indicating little change from the 64 percent reported in 1987-88. More districts are also using parents as in-class volunteers, aides, or tutors (53 percent in 1990-91 versus 40 percent in 1987-88) and are using parent liaison staff (47 percent in 1990-91 versus 32 percent in 1987-88).

Another area of activity that has increased is the proportion of districts providing direct or linkage services for parents with low literacy skills or whose dominant language is not English. Twenty-two percent of districts report that they either provide special activities for such parents or that they link parents with local adult education services, compared with less than 10 percent in 1987-88. More districts are also sponsoring or establishing parent resource centers; 16 percent report sponsoring such centers in 1990-91 versus only 6 percent in 1987-88.

Almost without exception, larger districts are more likely to report parent involvement activities than are smaller districts--across both time periods. For example, 90 percent of the largest districts (enrollment of 25,000 or more) disseminate home-based educational materials, 86 percent have liaison staff who work with parents, 83 percent have parent advisory councils, 73 percent use parents as volunteers, 60 percent have special activities for low-literate parents, and 45 percent have sponsored parent resource centers. In contrast, in smaller districts (enrollment less than 1,000), only 40 percent have liaison staff working with parents, 50 percent use parents as volunteers, 15 percent have activities for low-literate parents and only 14 percent have parent resource centers.

Larger districts (10,000 or more students) are also much more likely to have Chapter 1 parent involvement coordinators. (See Exhibit 4.3.) Across all districts, 12 percent reported that they support parent involvement coordinators with Chapter 1 funds. Two-thirds of the largest districts support parent involvement coordinators versus only 6 percent for smaller districts.

Assessing the effectiveness of their parent involvement activities is a new undertaking for many districts. It was first required in Chapter 1 under the Hawkins-Stafford Amendments. For many districts, this feature of the law has translated into taking attendance at various events. Typically, attendance records are kept by districts and then shared with state Chapter 1 monitors during site visits to document their regulatory compliance. Exhibit 4.4 summarizes ways

Exhibit 4.3

PARENT INVOLVEMENT COORDINATORS SUPPORTED BY CHAPTER 1, BY DISTRICT ENROLLMENT SIZE

Within each enrollment category, what percent of districts support parent involvement coordinators with Chapter 1 funds?

Total District Enrollment	Percent of Districts[1]
All districts	12%
25,000 students and more	67
10,000 to 24,999 students	37
5,000 to 9,999 students	23
2,500 to 4,999 students	20
1,000 to 2,4999 students	8
Fewer than 1,000 students	6

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[1] Weighted base N is 10,678. Item nonresponse is 22 percent.

This item was asked on the mail survey only.

Figure reads: Sixty-seven percent of the largest districts support parent involvement coordinators for some portion of their time, compared to only six percent of the smallest districts.

Source: District Survey of Chapter 1 Implementation, 1990.

districts report measuring effectiveness. The most commonly used measure is through attendance at Chapter 1 meetings and parent-teacher conferences, reported by 94 percent of the districts. Districts also assess effectiveness through parent ratings of activities and attendance at non-Chapter 1 school events (47 and 43 percent of districts, respectively). A smaller percentage (32 percent) report measuring parents' use of materials at home.

PARENT INVOLVEMENT ACTIVTIES AMONG DISTRICTS VISITED

In order to provide more in-depth information on the varieties of parent activities, one-third of the districts in our on-site sample were chosen because of their strong parent involvement programs. Although we cannot generalize from our site sample, the districts provide useful information on how districts offer activities and which factors appear to facilitate or hinder their effectiveness.

The nature, frequency, and rates of participation in parent involvement activities varied tremendously among the districts visited. At one end of the spectrum are districts with a history of active parent involvement; they have ongoing activities during the school year, including welcome orientations, special holiday assemblies for families (with food), a Chapter 1 parent handbook, and a parent or community liaison. At the other end of the spectrum are district and school staff who have come to expect minimal participation at the annual beginning-of-year orientation or at parent-teacher conferences. Somewhere in the middle are districts with a renewed commitment to parent involvement, who are excited about even modest increases in parental involvement, and who talk about ways to reach more parents.

A number of districts visited as part of our on-site research had strong parental involvement activities in place when the Hawkins-Stafford amendments were passed. In these nine places, the amendments served to bolster and validate ongoing activities. Some of these districts are characterized as models of parent involvement within their respective states.

The impetus for district commitment to parent involvement comes from several sources: a philosophic commitment to the value of parental involvement; exceptionally dedicated staff; and a key catalytic event, such as a successful lawsuit, that galvanized parents and other community members. Whatever the original source, the commitment is ongoing, and is

Exhibit 4.4

MEASURES USED TO ASSESS THE EFFECTIVENESS OF CHAPTER 1 PARENT INVOLVEMENT

In order to assess the effectiveness of activities for Chapter 1 parent involvement, which of the following, if any, does this district measure?

	Percent of Districts[1]
Parents' attendance at Chapter 1 meetings, conferences, workshops, etc.	94%
Parents' ratings of activities in which they participate	47
Parents' attendance at school events other than Chapter 1 events	43
Parents' use of materials at home	32
Other	7

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[1] Total adds to more than 100 percent because districts marked more than one method. The weighted base N is 14,649. The nonresponse rate is 2 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

manifested in both financial and attitudinal support for activities involving parents. One urban district coordinator said that parent involvement is

> … an extremely high priority for me…we really have the financial and human resources to do it…. I'm absolutely convinced we can make a significant difference in increasing the quality and quantity of parent involvement.

Some of the activities and components that these districts and schools provide include:

- a district- or school-level person(s) whose assigned responsibilities include parent involvement;
- parent-teacher conferences, workshops and other meetings in schools, held at different times of day or evening;
- access to a "Parent University" that offers courses on child development;
- district, and in some cases school, parent advisory councils, especially in urban districts;
- district, regional, or state-wide conferences for parents, with registration fees and transportation provided by Chapter 1;
- translated written and/or spoken presentations;
- regular parent council meetings (more frequently than the once-a-year minimal federal mandate); and
- activities that regularly bring parents into their children's schools.

When Chapter 1 funds parent involvement staff, whether they are called "liaisons," "community representatives," or "home-school specialists," the message that the district supports parent involvement comes through clearly.

The parent involvement activities described below represent a selected sample of what was offered among the school districts we visited.

Parent Handbooks

Some districts have assembled handbooks for Chapter 1 parents. In one city district, the city's schools have put together an award-winning handbook. Using a grade school composition book format, the booklet contains black-and-white photographs on the left-hand page and commonly asked questions and answers on the right side. Topics include Chapter 1 eligibility, how to encourage children with their school work, how to get involved in school, and the different programs available for children in kindergarten and first grade. The photographs show both girls and boys of different ages and ethnicities, alone, in groups, and with adults.

Parent Conventions

Both at the state and district level, parent conventions or conferences provide workshops, presentations, and sometimes mini-courses. One state with a particularly dedicated parent involvement specialist on staff sponsors regional parent conferences called "College for a Day." Across the state's eight regions, over 1,000 parents attend each year. Another state began sponsoring state-wide conferences just recently, and staff were proud that nearly 250 parents attended. A third state hosts an annual conference for parent representatives of its districts' parent councils. A recent district-wide conference focused on "Parenting in the 90's;" the topics at concurrent sessions ranged from *Family Math* to *Positive Discipline* to *What Teenagers Want and Need from Their Parents* to *How to Get Answers to Questions About My Child's School.* Presenters included school staff, local social services staff, and university and business people.

Learning Activities at Home

Among the explicit objectives of the Hawkins-Stafford Amendments is that parents learn ways to help their children at home. Some of the other activities described in this section are things that parents can take home, but there are specific activities designed for parents to use, with their children, at home. Reading books to children is certainly one such activity, and many programs encourage parents to take some responsibility for teaching children to read often and for pleasure. One district asks parents to sign contracts indicating that they will "supervise" their children's reading, and that their children will read a specified number of books or read for a specified amount of time. Another district offers courses during the summer for parents focusing specifically on home-based instruction.

Newsletters

Newsletters to parents from the district or school Chapter 1 staff are quite common. With names like *Chapter Chatter* and *Parent Education News (PEN)*, they describe the district's/school's Chapter 1 program and the opportunities for parents to become involved, and additionally discuss both past and upcoming district or school events. Some are translated into other languages. Many include a feature article or two on activities parents can do at home with their children. While some districts send newsletters home with Chapter 1 students, others mail them directly to parents. In one small district, the parent coordinator noted that since she began mailing the newsletter home to parents, there has been an increase in participation at events.

Workshops

Much likelier to be offered by districts or schools than by states, parent workshops are scheduled at various times of the year and at different times of day to attract parents. Many schools or districts serve food and provide transportation, and some provide child care as well. While the topics may be similar to the issues covered at statewide or regional conferences, the topics are often selected by parents themselves, and the scale is deliberately smaller. One district regularly offers workshops at 10 Chapter 1 schools; workshop leaders use a parenting curriculum called "Megaskills." At another school level workshop, conducted primarily in Spanish, the subject was substance abuse and how parents can help educate their children about drug and alcohol awareness.

Take-home Computers and Computer Labs

While take-home computers are not as prevalent as are other means to involve parents, their popularity is evident in the long waiting lists where they are available. Through one district coordinator's office, parents check computers out after learning how to set them up and use the accompanying software. For two weeks, parents can use the computers to work with their children and to see what their children are learning in school. Some parents have checked out software in order to work on their own GED requirements. The take-home computers are so successful that the school district hopes to adopt this approach as part of the regular instructional program.

In another district, 250 take-home computers are distributed among all the Chapter 1 schools, and parents can check them out for five-week periods. The impetus for this program came from the superintendent who, understanding parent involvement to be very important, took advantage of the emphasis on parent involvement in the laws to use Chapter 1 funds to build parents into their program. To encourage parent participation in the take-home computer program, the district makes the use of the computers as easy as possible. Before sending a computer home, a parent facilitator works with both the parent and the child demonstrating how to set up the computer, run the programs, and repack the computer. They also send extension cords, three-prong electrical adapters, and they have color-coded the plugs and wires to make assembly easy. Each parent is also given a booklet that puts in writing and illustrations all of the details covered by the parent facilitator.

Parents are able to sign up for a computer at parent meetings or by coming into the schools. Parents who do not attend parent meetings are contacted by the parent facilitators to give them the opportunity to borrow computers. The superintendent acknowledges that the main benefit of the take-home computer program is the ability to bring parents into the school, even if it is just to pick up a computer. By giving something to parents, the effort also provides an opportunity for parents to develop a positive relationship with the school.

After-school computer labs staffed by Chapter 1 teachers or aides also attract parents. While children can and do work alone on the computers, the intention of the labs is to promote parental involvement in their children's learning. One school administrator noted that one further advantage of parents' use of computers was that they enter the school building regularly, and that presence in itself was a major step for some parents.

Lending Libraries

Both at the school building and district levels, programs offer books, cassette players and tapes, flash cards, games and toys for parents to check out. One district uses brightly colored BINGO (Being Involved Nurtures Growth and Ownership) bags to transport its lending library materials. Parents are responsible for checking materials out, but staff report it is often the children who encourage their parents to read them stories or to play the cassettes. By providing both books and tapes, parents who are less skilled readers can listen along with their children. Staff commented that once parents come into the school building (in order to check materials out) they begin to feel more comfortable and confident about visiting the schools for other purposes.

Activities and Materials in Other Languages

States, districts, and schools are reaching out to parents whose native language is other than English. One district publishes introductory materials for its Chapter 1 parent involvement activities in Spanish, Chinese, Vietnamese, Hmong and English. Another district routinely conducts its meetings in Spanish or provides an interpreter. The district parent consultant remarked that several years ago,"...when a non-English speaking parent came to school the only translator was the janitor," and that, fortunately, district staff are now much more aware of the need and the benefit of offering services in Spanish. Several districts refer non-native English speakers to local English-as-a-Second Language classes or other adult education offerings, and some schools offer the use of their classrooms to parents after school hours.

Incentives and Rewards

Some schools provide tokens to children if their parents attend designated activities. Certificates of appreciation (and sometimes attendance), shoelaces, magnets, calendars, and photographs are just some of the ways schools and districts express their appreciation to parents for their participation. A local grocery chain printed its bags with the district's Chapter 1 logo as part of a community outreach effort led by the enterprising district coordinator. In another district, children whose parents have confirmed that they have read five or more extra books in a month are identified in the "Be Excited About Reading" (BEAR) Honor Roll published in each month's Chapter 1 newsletter.

As shown in the box below, some schools incorporate many of these activities to create a well-rounded program for parents.

COMPREHENSIVE PARENT INVOLVEMENT PROGRAM

The parent involvement program in one school (schoolwide project) consists of all of the following elements:

- Chapter 1 pays travel costs for parents to attend a state workshop on parent involvement that involves 20 hours of training for parents, aids, and teachers.
- A community agency conducts 10 workshops on discipline without pain.
- A community health center conducts workshops in English and Spanish for parents on topics such as alcohol, drug abuse, and immunizations.
- ESL classes are run at the school three hours per day, four days per week in the parent's room.
- A Chapter 1 project manager coordinates a parent volunteer program in which parents help teachers run off papers, supervise the playground and cafeteria, and run carnivals, assemblies, and special events.
- The school recognizes parents each year with awards at a banquet held at a local restaurant.
- Parents are helping create the school library and run the book fair as a fundraiser.
- The school regularly sends parents newsletters and a monthly school calendar.

THE STATE ROLE

Although the nine states visited do not provide a national picture of the state role in parent involvement, they do illustrate what some state activities are. Among the nine states visited, four states are actively involved at the state level in providing direct services to parents; more provide technical assistance and support to districts. Four state coordinators commented that they welcomed the opportunity to do something meaningful with parent involvement, and cited the Hawkins-Stafford Amendments as giving them more authority over districts.

Four states conduct statewide or regional workshops for parents, teachers, and administrators. One state regularly sponsors conferences for representatives from district parent advisory councils, and another state encourages staff at the district level to open parent resource centers in local schools.

Two other state coordinators believe that the role of the state is to provide districts with information and support necessary to determine specific objectives locally, and to that end, sponsor workshops, develop materials, and provide technical assistance to district-level staff. Lastly, two states have required districts to document (above and beyond the federal requirements) that parent involvement activities are occurring.

Among the nine states visited, the larger states visited have more differentiated organizational structures than smaller states, and are likely to have someone responsible for parent involvement (either among compliance or program staff). Smaller states have smaller Chapter 1 state administration budgets so are less likely to have someone responsible for parent involvement. The presence of parent specialists on state staff often gives the states more credibility in their efforts to bolster parent involvement activities.

Many state personnel believe that Hawkins-Stafford will have an impact on districts' and schools' efforts to provide parent involvement opportunities that are more than compliance-oriented. Several commented, however, that its impact has only begun to be noticed, and that its true effect would not be known for a few years.

FACTORS THAT INFLUENCE PARENT INVOLVEMENT ACTIVITIES

Across the sites visited, several factors distinguish effective parent involvement. These include leadership, dedicated staff, attitudes of school people toward parents, and the recognition of parents' needs. The Hawkins-Stafford Amendments were occasionally specifically cited as a factor in promoting increased parent involvement. Each factor is described below.

Leadership

Effective leadership at the state and district levels--leadership which demonstrates, through modeling, supervision, and support, a commitment to meaningful parent involvement--enhances the success of parent involvement efforts. Rhetorical support for parent involvement is all too common, but those districts and states where coordinators' actions support their rhetoric stand out. In a few states, district staff commented on the effective leadership at the state level as key in strengthening the statewide efforts to improve the Chapter 1 parent involvement program. The absence of effective leadership does not automatically lead to a poor parent involvement program, but it makes the accomplishment of meaningful involvement doubly difficult.

Strong parent involvement is often a function of school building-level leadership. Several district (and state level) staff commented that it is the principal who sets the tone; "the leadership of the building affects the participation," noted one district administrator. The words of one elementary principal, who said "if a parent comes in the door, we'll keep that parent involved," offer compelling support for the importance of building-level leadership. His belief in the need to involve parents in the school has been effectively communicated to the community. Thirty students and 23 staff participated in a successful door-to-door campaign to reach every home and business in the local community. Parents can sense whether a given school climate is welcoming or hostile, and they respond accordingly.

Dedicated Staff

Dedicated staff are a hallmark of the strong parent involvement programs, whether they are specifically funded as parent specialists or occupy other roles and dedicate extra time to parent involvement. Parent involvement specialists at state, district, and school levels are key because their very positions, in addition to the activities they carry out, often signify a commitment of resources to parent involvement. Dedication makes a difference. In one state, a staff member "donates" another 15 to 20 hours a week to work solely on parent involvement activities. The extra efforts made by school staff also contribute to the vitality of select parent involvement programs. Some parent liaisons spend evenings and weekends working with parents; some liaisons link parents up with other social service resources; others accompany parents to court. One community liaison comes to school a half-hour early each morning to greet each parent and child by name as they arrive and encourage them to become involved with the parent programs.

Attitudes of Staff

Respect and a welcoming attitude toward parents as adults, parents, and learners is crucial to strong parent involvement programs. Schools that welcome parents into the buildings as volunteers, as parents, and as learners themselves in parenting classes or adult literacy classes or other courses send a strong message into their local communities about the ways parents can participate in the school. One principal remarked that she and her staff have had to work hard to change their collective attitudes about having parents in the building, but that the support the school has gained in the community has made the struggle well worthwhile.

Some building principals and teachers believe the province of education belongs entirely to the educators, and that parents' educational responsibility is to deliver children to the school door. Parents are not welcome visitors in such schools or classrooms, and consequently, parent involvement is minimal at best.

Recognition of Parents' Needs

Across all sites, staff commented that too many families live under constant economic, emotional, and social stress. Particularly in urban areas, district staff noted that parents are increasingly single, under-educated, and are ill-prepared to be parents. One subtle difference between sites with strong parent involvement programs and schools with minimal efforts is that strong programs have staff who recognize that families are defined differently than they were in the past and who believe it is the schools' responsibility to reach out to parents, especially stressed parents. While staff in districts with weaker programs may also recognize that families have changed during the past 25 years, they have not altered their outreach strategies and often believe that these families are avoiding responsibility for initiating contact with schools.

Successful efforts respond to parents' needs. Activities appropriate for single mothers in an urban housing project are likely to differ from activities appropriate for two-parent migrant families. When the activities match parents' interests and needs, parents are more likely to participate. For example, one urban school recently initiated, at parents' request, an on-site GED preparation class.

Knowing how to contact parents is also a key element of successful programs. Hard-to-reach families are unlikely to respond if the only contacts are written notices sent home with children. Repeated personal contacts are usually needed; the more successful programs often use a door-to-door visiting campaign or teacher-to-parent telephone calls.

External Factors Jeopardizing Success

External factors can jeopardize the success of parent involvement activities. In one district a city-wide desegregation plan was implemented that changed the schools' catchment areas from walking distance to cross-town neighborhoods. The consequence was that low-income parents began to feel less welcome at meetings attended and dominated by middle-class parents. While the city-wide goal of desegregation may have been met, progress toward the Hawkins-Stafford Amendments' goal of involving parents more meaningfully at the school was derailed.

One district was forced to eliminate parent-teacher conferences because the district could not afford to pay its teachers for any time over and above the minimum number of instructional days. At one school in this district, staff decided that parent-teachers conferences were too important to discard. This school's Chapter 1 teachers have parent conferences at the same time as do regular classroom teachers. Staff elected to give up some of their daily recess and thereby accumulate enough instructional time so that the school could both hold conferences and not abuse the teachers' contractual agreements. In other districts, the funds for parent liaison staff had been eliminated, and staff were struggling to manage their increased workloads.

In a school with burgeoning enrollment, the parent resource room had to be converted into a classroom to accommodate the extra students. Because parents no longer had a place to call their own, they began to feel less welcome in the school. In one rural district, space is also an issue; there is not sufficient space on the school campus to hold parent meetings.

Size of District

Larger districts are likelier to have additional resources to commit to parent involvement than are smaller districts; the site visits confirmed the patterns evident in the district survey. Among districts visited, the stronger programs were often those in large and medium-sized districts. This seems to occur for several reasons: 1) Size alone is a significant determinant. Larger districts have more students, more Chapter 1 students, and therefore more Chapter 1 funds. 2) There are more staff resources available, not only in terms of expertise, but in terms of support and brain-storming networks. 3) Larger districts are more likely to have permanent staff lines for parent specialists. 4) The population (and poverty) density in larger districts contributes to other resource avenues, including use of schoolwide projects and other compensatory education funds that, in concert with Chapter 1 funds, can be used to support parent specialists.

Hawkins-Stafford Amendments

At the state level, staff in four of the nine states visited commented that the amendments have given them more "muscle" and leverage with which to prompt districts to provide meaningful parent involvement activities. Some state staff also lauded the federal government for attending to recent research demonstrating the importance of parental involvement in their children's education.

The Hawkins-Stafford Amendments were specifically cited as a rationale for action in only a few districts we visited. Nevertheless, a few districts reported that as a result of the Hawkins-Stafford Amendments, they are now able to provide more meaningful services and activities for parents, and some have earmarked either funds or staff time, or both, specifically for implementing or overseeing parent involvement activities. One district is using innovation project monies to fund parent involvement activities. Another small district used Hawkins-Stafford as the rationale to allocate a quarter of a staff person's time to plan and implement various activities, including producing a newsletter for parents, calling parents to remind them about upcoming parent-teacher conferences, and planning "make-and-take" parent workshops. Another district, sparked to action by the Hawkins-Stafford Amendments, decided to hire local parent facilitators and to implement a take-home computer program. In one small district, staff noted that the Hawkins-Stafford Amendments served as a much needed "2 x 4" to hit them over their proverbial heads and prod them to action.

CHAPTER FIVE

EXPANDING CHAPTER 1 PROGRAM DESIGN AND COORDINATION WITH OTHER PROGRAMS

OVERVIEW

The congressional purposes for Chapter 1, as stated in the legislation, extended to include helping students succeed in the regular school program and improving student achievement in more advanced skills (not only in basic skills). This interest has increased the focus on the variety of program designs used by Chapter 1 and on the explicit coordination between Chapter 1 and the regular instructional program. The use of alternative program designs was also highlighted in the ED regulations for the Hawkins-Stafford Amendments. Discussed at length were allowable variations of in-class projects and extended pullout/replacement projects.

Since 1985-86, when the last National Assessment of Chapter 1 was conducted, the proportion of districts supporting a variety of program designs has increased. The 1990 national survey of district Chapter 1 coordinators identified the following trends:

- The proportion of districts offering in-class instruction jumped from 37 percent in 1985-86 to 62 percent in 1990-91. Replacement and extended pullouts are offered in more districts as well. Extended day and extended year programs modestly expanded across districts, while schoolwide projects are now found in 4 percent of districts (up from 1 percent in 1985-86).

- The one program type that has become less popular across districts was limited pullout. While still found in most districts (82 percent), the proportion of districts dropped slightly from 89 percent in 1985-86.

Data from site visits indicated that changes in program design were in keeping with the objectives of the Hawkins-Stafford Amendments but seldom directly attributed to the law. While survey results suggest that districts hold on to traditional ways of delivering Chapter 1 while experimenting with innovation, our site visits were often to districts that had made major change. Changes in Chapter 1 program design were usually linked to state or district initiatives (such as school-based management), staffing changes, space considerations, and the research literature.

Information on coordination was obtained primarily through site visits. Findings include:

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- The effects of the Hawkins-Stafford Amendments on coordination are modest, except for such provisions as schoolwide projects which fully integrate Chapter 1 into the regular curriculum.

- Coordination of Chapter 1 with the regular school program occurs primarily through informal meetings of teachers in hallways, at lunch, during recess, or before and after school. Formal mechanisms for coordination include the exchange of documents and the inclusion of Chapter 1 personnel in the school's regularly scheduled activities. Much more rarely used are such structural mechanisms as joint planning time for Chapter 1 teachers and classroom teachers.

- Coordination with other educational programs is enhanced when the other programs are designed to complement Chapter 1 (as is often true with state compensatory education programs) or when personnel are jointly funded by the programs.

CHAPTER 1 PROGRAM DESIGN

Regulations for the Hawkins-Stafford Amendments urged districts to explore a greater variety of program designs for the delivery of Chapter 1 services, including such options as extended day programs, summer programs, and preschool/kindergarten programs. Of the options available to them, districts showed a distinct preference for those approaches that remained within the regular school day--limited pullout Chapter 1 instruction, in-class instruction, replacement projects, and extended pullout projects.

As shown in Exhibit 5.1, the survey of Chapter 1 coordinators reported the following trends:

- Eighty-two percent of districts offered limited pullout programs in 1990-91, down slightly from 89 percent reported in 1985-86. Twenty-six percent of districts reported offering fewer pullout classes, while 21 percent of districts report offering more limited pullout classes.

- Sixty-two percent of the districts offered in-class Chapter 1 instruction in 1990-91, up from 37 percent in the 1985-86 survey. Further, 48 percent report more in-class projects in 1990-91 than in 1985-86, and only 2 percent reported a decline in in-class projects.

- Twelve percent of the districts offered replacement projects in 1990-91, up from 7 percent in 1985-86.

Exhibit 5.1

PROPORTION OF DISTRICTS OFFERING TYPES OF CHAPTER 1 PROJECTS

Mark all kinds of Chapter 1 projects that this district operated during the school year.

	Percent of Districts[1]	
	1985-86[2]	1990-91
Limited pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that does not exceed 25% of the total instructional time in that subject matter)	89%	82%
In-class projects (Students receive Chapter 1 instruction in regular classroom)	37	62
Extended pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that exceeds 25% of the total instructional time in that subject matter)	12	24
Replacement projects (Chapter 1 students receive services that replace all or part of their regular instruction, and Chapter 1 is a self-contained part of this program)	7	12
Summer add-on projects (Students receive Chapter 1 instruction during a summer session)	6[3]	11
Preschool or Kindergarten (Chapter 1 students receive preschool programs or are provided a full-day Kindergarten (rather than the standard half-day)	NA	10
Add-on projects during the regular school year (Students receive Chapter 1 instruction before or after school or on weekends)	6[3]	9
Schoolwide projects (in attendance areas where at least 75% of the students are from low income families, Chapter 1 funds are used to upgrade the entire educational program)	1	4

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[1] The totals add to more than 100 percent because districts checked more than one item. The weighted base N for the second column is 14,867, for an item nonresponse of 0 percent. The source is the District Survey of Chapter 1 Implementation, 1990.

[2] The source is the National Institute of Education's Chapter 1 District Survey, 1985-86.

[3] Add-on projects during the regular school year and during the summer were grouped together in the 1985-86 survey; a total of 6 percent of districts offered programs in this category.

- Twenty-four percent of the districts offered extended pullout projects in 1990-91, up from 12 percent in 1985-86.

The use of add-on options, such as extended day or extended year projects also expanded, but modestly. The survey results indicate that 9 percent of the districts offered add-on projects during the regular school year in 1990-91 and 11 percent reported summer add-on projects. This reflects an increase over the 6 percent that reported the use of any kind of add-on option in 1985-86.

Other options that were available to districts included the use of schoolwide projects and/or preschool or kindergarten projects. While the overall percentage of districts offering schoolwide projects stands at 4 percent, that represents a substantial increase over the 1 percent figure reported in 1985-86. Ten percent of the districts offered preschool or kindergarten projects in 1990-91--the 1985-86 survey did not inquire about these programs.

The survey results indicate the spread of instructional approaches across districts. Traditional approaches continue their dominance, with an increasing number of districts adding alternatives. The survey results do not reveal the extent of change in program emphasis within districts.

Among the districts that we visited, a large proportion had made major program design changes. Fifteen of the 27 districts were implementing changes in their primary method of service delivery. Six had shifted to an in-class model from limited pullouts; three others made established computer laboratories as the primary model; two others had shifted to an extended pullout model from limited pullouts; two had instituted schoolwide projects throughout their districts; one moved exclusively to an after-school model; and lastly, one shifted from an in-class model to a limited pullout.

Five other districts had made minor changes, shifting offerings in some schools, increasing the number of in-class programs, or expanding the grade levels served. Lastly, six districts reported making no changes in program design in the last few years. For those districts making no change, the program designs had been in place for years with no one questioning their continued relevance.

The districts visited had been deliberately chosen so that we could examine district and school responses to such new provisions as schoolwide projects and schools in need of improvement. We therefore anticipated that these districts had made programmatic changes. What is particularly interesting is that in only four districts visited were the changes made directly attributed to the Hawkins-Stafford Amendments. The other districts had altered their program offerings in accordance with the philosophy of the Hawkins-Stafford Amendments, but they did not attribute changes to the legislation.

Changes Attributable to the Hawkins-Stafford Amendments

In four districts visited in the on-site research, the provisions of the Hawkins-Stafford Amendments concerning schools in need of improvement and the removal of the matching requirements for schoolwide projects were the primary motives for change in program design. Two districts determined during their planning year for schools in need of improvement that radical changes were needed to improve instruction. One of these two districts opted for an after-school program and the other one for installing a computer laboratory to "attack the weak areas" identified by standardized tests. Two other districts, in which all schools were eligible for schoolwide projects, took advantage of the new provisions to make all schools in the district schoolwide projects, eliminating in one fell swoop issues of coordination, stigma, and selection of separate instructional models.

Changes Aligned with the Hawkins-Stafford Amendments

Fourteen of the 27 districts visited had made changes in their program delivery model in the last five years that are in line with the philosophy of the Hawkins-Stafford Amendments. These districts decided to explore new options in delivering Chapter 1 but reported that they did so for reasons other than the legislation itself. Among the reasons cited by district Chapter 1 coordinators are state or district initiatives, staffing changes, space considerations, and the research literature on effective schools generally.

State or, more frequently, district initiatives in school reform can have a ripple effect that modifies the delivery of Chapter 1 instruction. School-based management, for example, can result in the selection of program models by committees of teachers and administrators at the school level. In one urban district that is turning to school-based management, program and content are defined at the school level. As of 1990, each principal is given the Chapter 1 allocation for that school. The district office then presents a menu of Chapter 1 programs from which principals choose options for their schools. The menu includes the cost of the programs for groups of students and per student. The only mandated activities are a school-based parent involvement specialist and staff development.

Another district-sponsored initiative is the addition of computer laboratories and/or computer-assisted instruction for some or all Chapter 1 students. The movement to incorporate technology into the Chapter 1 program was one of the most pervasive patterns in the districts visited: 12 districts have made a commitment to computers either as an adjunct to their Chapter 1 curricula or as replacements. One of the more complete transformations occurred in the urban district highlighted below.

COMPUTER-ASSISTED CHAPTER 1

In one urban district, some 12,000 Chapter 1 students now receive their instruction in reading and mathematics via computer assisted instruction. The computer laboratories, purchased with Chapter 1 funds, provide individualized instruction in 36 schools in the district. Chapter 1 students are tested using the vendor's test of basic skills, placed in programmed units, and then progress through the units in the vendor's sequenced program. The program is individualized so that students move through the sequenced material at their own pace.

One way that districts are able to bring about sweeping changes in their service delivery is to bring in new staff. It may be, in fact, that districts bring in new staff precisely because they want to make sweeping changes in the program. For example, in one rural county, the new Chapter 1 coordinator took one year to change the instructional pattern from a long tradition of limited pullouts across the board to 1) extended pullout programs for all Chapter 1 students; 2) computer laboratories for all Chapter 1 students; 3) optional after-school computer laboratories; and 4) optional take-home computers for use by students and parents.

Some districts opt for in-class or extended day/year designs simply because they do not have the space to provide Chapter 1 in a pullout mode. In a number of schools visited, Chapter 1 teachers seem to get short shrift in terms of space; they may find themselves teaching in portable classrooms, on the school stage, or in the back of the cafeteria. When even these spaces are exhausted, the school or district may be forced to move instruction to an in-class model. This was the case in at least two of the districts we visited.

Some district staff cite research literature as a basis for moving to extended pullout and to in-class instruction. In one district in particular, staff cited the literature on time on task as an important condition for academic success as a major reason for moving to these models in three districts. For example, in one small city, the district coordinator reported that the change to an in-class model of instruction was based primarily on the district's interest in the "Effective Schools" literature and that to facilitate change, the director reported that she "plied the principals in the district with literature on what works."

Implementing Multiple Changes

One of the most interesting tendencies exhibited by districts that altered their Chapter 1 programs was the approach that involved simultaneous and multiple changes. Eight districts visited took this approach and while they did not adopt identical designs, certain elements seem to be shared. For example, one or more eligible schools became schoolwide projects, computers were installed to the extent that money or space allowed, and a packaged program such as *Reading Recovery* or *Success For All* was integrated into some schools or grade levels.

There were several reasons districts adopted these multi-pronged approaches. Many district and Chapter 1 administrators believe that using a variety of approaches is an appropriate remedy for the variety of problems exhibited by different schools. School-based management may lead to school-level administrators selecting different approaches that they think will meet the needs of the schools, or the district may choose to pilot programs in different locations looking for what works best. (See the next box for an example of Chapter 1 serving to pilot new strategies.)

USING CHAPTER 1 TO PILOT NEW APPROACHES

In this industrialized urban district, test scores for all students have traditionally been low. New district administrators have devised a turn-around plan that involves using Chapter 1 programs as a tool to pilot new approaches. Among changes in program delivery are:

- one schoolwide project involving the largest elementary school in the district;
- an after-school program in six schools;
- the introduction of computer assisted instruction in some elementary schools and all middle schools;
- change from limited pullout to in-class instruction in reading and language arts in most elementary schools;
- the introduction of whole language curriculum units;
- the introduction of the National Council of Teachers of Mathematics (NCTM) standards in Chapter 1 mathematics; and
- installation of pilot all-day kindergarten and summer school programs for Chapter 1 students.

In this district, the reason the Chapter 1 coordinator gave for using Chapter 1 both as a catalyst and a laboratory for change is "It is easier to try things out in Chapter 1 because you can make changes quickly and undo them quickly."

COORDINATION WITH THE REGULAR SCHOOL PROGRAM

"Frequent and regular" coordination of the Chapter 1 curriculum with the regular instructional program was required in the Hawkins-Stafford Amendments. The effect of the Hawkins-Stafford Amendments on the efforts of schools and districts to coordinate their Chapter 1 and regular instructional programs is a modest one. While some provisions of the legislation facilitate coordination under certain circumstances (notably, schools in need of improvement or schoolwide projects), the legislation has not significantly altered the ways schools traditionally approach coordination.

One state is an exception to the general pattern of modest activity in program coordination: this state has taken coordination as a very serious focus for its work. Members of this state's Chapter 1 staff believe that the emphasis on coordination represents a fundamental, significant change in the law. They communicate this message to district staff, who in turn characterize "the new law" as very different from the Chapter 1 of past years. In this state, the goal of coordinating Chapter 1 with the regular program has been the rationale for changing program designs. For example, a state staff member says of the current Chapter 1 curriculum in the districts he monitors, "They're doing regular class work. It doesn't have to be a unique, total approach. There's more of the school curriculum within compensatory education, not just drill-and-kill phonics." In the past, according to this consultant, the Chapter 1 curriculum most often emphasized discrete skills unrelated to the regular program. Similarly, because the state is deemphasizing the model of pulling students out for distinctive services under Chapter 1, relations among school staff are said to be changing statewide: "the Chapter 1 teachers are working shoulder to shoulder with the classroom teacher," according to a state staff member. Evidence of a change in this direction was evident in the districts we visited.

Administrators at state and local levels, as well as principals and teachers, unanimously testify to the importance of coordinating the operations of the Chapter 1 program with the regular instructional program as a way to strengthen both. According to the national survey of district Chapter 1 coordinators, the top-ranked method to coordinate Chapter 1 is to encourage Chapter 1 staff and classroom teachers to discuss instruction or students. Half the districts rate this as the primary method of coordination (Exhibit 5.2). A smaller proportion, 30 percent, report that they require such discussion, and 7 percent indicate that they provide some kind of form or document for recording the progress of Chapter 1 students. These results fit closely with the findings of the on-site research, although the schools involved in the field studies reported more variation in the methods they used to allow or ensure coordination. Each of these methods is discussed below.

Exhibit 5.2

DISTRICT EFFORTS TO ENHANCE COORDINATION BETWEEN CHAPTER 1 AND THE REGULAR SCHOOL PROGRAM

What does this district do to coordinate Chapter 1 with the regular school program?

	Percent of Districts[1]	
	Mark All That Apply	Mark the Top One
Encourage Chapter 1 staff and classroom teachers to discuss instruction or students	86%	51%
Require Chapter 1 staff and classroom teachers to discuss instruction or students	74	31
Provide forms for teaching staff to record and exchange information	61	7
Arrange for Chapter 1 staff and classroom teachers to have joint planning periods	51	4
Hold principals or other building-level administrators responsible for coordination	50	6
Hold district-level administrators responsible for coordination	28	2
Other	6	2
Total		100%

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[1] The total adds to more than 100 percent because some respondents chose multiple categories. The weighted base N for the first column is 14,761, for a nonresponse rate of 1 percent. The weighted base N for the second column is 10,774, for a nonresponse rate of 28 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Informal Mechanisms

Informal coordination, frequently devised at the school level, are the meetings of teachers in the hallways, at lunch, at recess, in the teachers' lounge, or before/after school to discuss the progress or needs of students. Generally, these meetings involve a single Chapter 1 teacher and a single classroom teacher discussing a child or small group of children. Such meetings may be regular or may occur only when there appears to be a problem with the instructional progress of the Chapter 1 students. Teachers may also write notes back and forth or exchange samples of a student's work to illustrate problems or progress. Staff at virtually every school attest that they have some type of informal coordination, whether or not more formal mechanisms are in place.

Formal Mechanisms

There is a gamut of activities that Chapter 1 schools engage in to facilitate formal coordination of the Chapter 1 program and regular instruction. They seem to fall into two major categories: written communication and the inclusion of Chapter 1 teachers in school meetings and other school activities.

The most frequently used types of written communication are 1) the feedback form or progress report from the pullout Chapter 1 teacher to the classroom teacher, and 2) lesson plans or textbook assignments passed from the classroom teacher to the Chapter 1 teacher. Where there are computer laboratories, the written material may take the form of printouts showing weaknesses and progress, which are sent from laboratory personnel to the classroom teachers. These paper tools have the advantage of documenting the coordination that takes place although not everyone values them highly. "Classroom teachers are masters of paper collection but they don't read anything they get," a Chapter 1 teacher reported in one district "so I just keep filling out progress reports so nobody can say I didn't." Another type of paper coordination is through the use of classroom folders for each Chapter 1 student to carry assignments or test results back and forth to the Chapter 1 class, as a basis for planning instruction. In some districts, the Chapter 1 teachers are provided with the supplementary materials that textbook publishers provide for their series or with teachers' manuals for some or all of the books that their students are using.

The inclusion principle is a means of formal coordination that is frequently employed by districts and schools. This approach simply includes the Chapter 1 teachers in the school's regularly scheduled activities, including classroom or school open-houses, faculty meetings, grade level meetings, district committees (such as textbook adoption), and staff development initiatives. Inclusion can be a passive activity ("They can come if they want to"), or it can be active and creative, as when the district provides substitute teachers so that teachers and Chapter 1 instructional staff can meet or plan together.

Structural Mechanisms

Coordination structures that are built into the schedule and organization of the district or school programs appear to be effective mechanisms for ensuring coordination, according to our site vists. Some examples include: arranging the school schedule so that classroom and Chapter 1 teachers have joint planning time; scheduling classroom teachers into computer laboratories with their students so they are involved in the instructional process or correlating computer instruction with the regular curriculum; and funding Chapter 1 teachers to devote some discrete portion of their time to coordination. For example, in one urban district, Chapter 1 teachers are funded four-and-a-half days a week for teaching and have half a day for curriculum planning, staff development activities with classroom teachers, and other activities aimed at coordination.

One small district has invested significant resources into ensuring coordination. The district hires a substitute so that every classroom teacher who has Chapter 1 students has a block of release time every other week to meet with Chapter 1 assistants and instructional coordinators. The classroom teacher meets first with the instructional coordinator and then jointly with the coordinator and the instructional assistant. A second aspect of the coordination effort is a district provision that allows any Chapter 1 staff person attending a conference or workshop to take along a classroom teacher with whom he or she works. If a Chapter 1 staff person does not wish to attend an out-of-town conference, a classroom teacher is still authorized to attend. The district will provide up to ten substitutes at one time so that teachers may travel to such events.

In another small city, coordination is facilitated because Chapter 1 teachers also serve as the district's reading specialists. With 10 percent of their time funded by the district, Chapter

1 teachers supervise the entire reading program for all students in their schools. They are also in charge of developing the reading and language arts curriculum, devising instructional strategies, and providing staff development for teachers in reading and language arts.

Factors That Facilitate Coordination

Three new provisions under the Hawkins-Stafford Amendments and regulations facilitate the coordination of classroom and Chapter 1 instruction. They are the provisions governing schoolwide projects, schools in need of improvement, and those encouraging changing program designs. Each of these issues is discussed below.

Schoolwide Projects. Where schoolwide projects were implemented, coordination of Chapter 1 and regular instructional services became a natural rather than a planned occurrence and took place in an ongoing rather than a sporadic way. Several respondents in the on-site research stated that with schoolwide projects, coordination was simply no longer an issue, because Chapter 1 funds no longer supported distinctly separate activities.

Schools in Need of Improvement. The effect of the program improvement provisions on coordination was felt primarily during the identification and planning phases. At the identification point, schools were forcibly reminded that their Chapter 1 programs were an integral part of their instructional health. Some district Chapter 1 Coordinators reported that it was not easy to face building principals and say: "Your school needs improvement." One coordinator said, "I figured that when I went to the principal and said 'your school needs improvement,' the natural thing for the principal was to say 'it's not my school that needs improvement, it's your program,' but most of them took it better than that."

Virtually every school visited tackled the problem of coordination as part of its planning year, and many felt that they made great strides in improving coordination. Conducting a needs assessment was in and of itself a move toward coordination; for many classroom teachers, it was their first opportunity to make their feelings and ideas about Chapter 1 known. But even more important was that the inclusion principle extended in the other direction, often for the first time. In many districts, classroom teachers and principals were involved in workshops and staff development activities offered under the auspices of Chapter 1. In one state, the state-sponsored workshops to assist schools in designing their activities for the planning year was the first time that school principals and classroom teachers had ever attended any event with the Chapter 1 staff. Some of the improvements in coordination that took place in the schools in need of improvement could have taken place anytime in the past--needs assessments certainly fit that category--but apparently the planning year served to legitimate and amplify the importance of undertaking such activities.

Changing program designs. The federal program office has encouraged districts to explore more and different program designs. In several districts visited, the in-class instructional model was adopted in part to enhance coordination. The advantages of Chapter 1 in-class instruction went beyond the obvious one of putting the regular classroom teacher and the Chapter 1 teacher in the same room. In some districts, this arrangement has led to "modelling" lessons either by the classroom teacher or the Chapter 1 teacher, and in some cases, formal demonstration teaching.

The Hawkins-Stafford legislative push toward greater coordination between regular and Chapter 1 instruction is not the only stimulus for coordination that districts encounter. Education reform efforts generally play a role. A few districts cited school and curriculum reform efforts as motivation for greater and more meaningful coordination. As noted below, respondents referred to school-based management and whole language approaches to learning in particular.

THE EFFECT OF CURRICULUM REFORM ON COORDINATION

Several districts involved in the on-site research were engaged in efforts to implement curriculum reform, which are having a direct impact on the coordination of Chapter 1 and regular instruction. District Chapter 1 coordinators remarked:

> "...the shift to whole language means that coordination will depend more on teachers and less on materials, provided by text book publishers."
>
> "...with site-based management, Chapter 1 teachers have half a day per week to plan for coordination with classroom activities."
>
> "...promoting school-based decision-making for Chapter 1 through site-based management is a natural means for coordinating Chapter 1 with the regular and other special programs."

Factors That Hinder Coordination

There are factors that continue to hinder coordination between Chapter 1 and the regular school program, although none stems directly from the Hawkins-Stafford Amendments. They include scheduling, the use of aides to deliver Chapter 1 instruction, and fragmentation of administration.

Scheduling. Difficulty in scheduling has long accompanied limited pullout programs, the traditional Chapter 1 model. In some districts, this difficulty has been exacerbated by the use of extended pullout models. These models frequently entail up to "90 minutes of sacrosanct Chapter 1 time," as one administrator characterized it--time that cannot be interrupted by other pullouts or activities (such as band), a situation that leads to resentment that Chapter 1 scheduling drives the schedule for the entire school.

The use of aides. In several districts, the use of aides to deliver Chapter 1 instruction was perceived as a hindrance to coordination. Classroom teachers reported that they do not feel that they can relate to aides as peers and therefore, such mechanisms as joint planning or staff development become inappropriate. In districts and schools where aides deliver instruction, classroom teachers give the aides lesson plans to follow or vocabulary words to drill; and the teachers rely more heavily on paper coordination than on face-to-face or interactive coordination activities. Aides, many of whom have high school diplomas, were reported to often feel intimidated by better-educated teachers.

Fragmentation. In general, the state and district roles in coordination were not as important as the decisions that were made at the school level. The district may facilitate coordinated approaches by funding substitutes, establishing staff development policies, or through policies for scheduling time. On the other hand, districts may set an example of fragmentation. One curriculum specialist reported that her district office is comprised of independent departments that function without real means of communication and that they depend on communication via upper levels of the hierarchy, rather than directly.

COORDINATION WITH OTHER EDUCATIONAL PROGRAMS

One Chapter 1 coordinator pointed out that changing coordination between Chapter 1 and other educational programs based on changes in Chapter 1 alone is "the sound of one hand clapping" because real change would be predicated on legislative modifications for all programs. In fact, the major consequence of the Hawkins-Stafford Amendments was to ease the burden of scheduling, especially in schools that became schoolwide project schools. The major factor that facilitates coordination between Chapter 1 and other educational programs is often the design of the other program. In some cases, primarily in the case of state compensatory education programs, programs follow models designed to complement Chapter 1. Similarly, when program designs do not fit well together, coordination between Chapter 1 and other programs is decreased.

Alternative program models. In terms of easing coordination issues between programs, the new program models available or encouraged by the Hawkins-Stafford Amendments have had mixed results. While the traditional extended pullout and replacement models tended to hinder coordination, schoolwide projects and in-class instruction lead to enhanced coordination. For those districts that had many pullout programs and were accustomed to scheduling gyrations to meet their needs, this change was an important step toward smoothing if not coordinating the instructional program for students.

Program design issues. Pullout designs such as those frequently employed in bilingual programs, special education resource rooms, and some counseling interventions for students lead to programmatic isolation. Where Chapter 1 is a pullout model as well, little or no coordination of programs occurs. Among the districts we visited, this situation occurred most frequently in large urban districts and in schools where there are very high numbers of students with multiple needs. According to some respondents in these schools, students who need the most continuity receive the most fragmented instruction.

In six of the nine states in the field sample, state compensatory education programs had been designed to accommodate or enhance Chapter 1. In some, the funds were used to support activities (such as tutorials) that Chapter 1 does not support or to extend Chapter 1-like services to ineligible schools. Or, the program may extend services similar to Chapter 1 to additional grade levels--what one administrator called "stretching Chapter 1" to serve middle and/or high schools. In other states, the state program targets some portion of the Chapter 1 population for additional services or places additional staff in classrooms with high proportions of low-achieving students. One state compensatory program simply mimics Chapter 1 student selection and service in ineligible schools. One state jointly funds some instructional personnel so that they can deliver both Chapter 1 and the state program. In only one state was the state-funded compensatory program designed to function without reference to Chapter 1. In this case, both Chapter 1 and the state program are pullouts with the state program operating in apparent independence from both Chapter 1 and the regular school curriculum.

The state stance in terms of prodding districts to coordinate their special programs generally ranges from slight to invisible. However, one state in the sample facilitates coordination via a consolidated program application that provides an opportunity for districts to consider all their supplemental programs (Chapter 1, migrant, bilingual) together. In one district in this state, 10 percent of the Chapter 1 resource teacher's time was funded through bilingual education, and the bilingual resource teacher was funded 10 percent from Chapter 1. With joint funding, teachers reported that they saw both programs as part of their jobs and coordinated offerings extensively.

CHAPTER SIX

SELECT NEW TOPICS IN CHAPTER 1

OVERVIEW

The Hawkins-Stafford Amendments of 1988 contained evaluation requirements to strengthen program improvement and accoutability; a new capital expenses fund to help offset the expenditures needed to continue service to Chapter 1 students attending private schools in the wake of the Felton decision; and a new innovation projects option for school districts. Findings from the District Survey of Chapter 1 Coordinators regarding implementation of these new features are summarized below.

Evaluation

- Moving to an annual testing cycle caused few problems in districts. Nearly all (96 percent) had the system in effect for the 1990-91 school year.
- Measuring the progress of Chapter 1 students in the regular program is accomplished in a variety of ways. About three-quarters of the districts use their district-wide achievement tests for Chapter 1 students.

Private Schools and Capital Expenses Funds

- After the Supreme Court's decision in Aguilar v. Felton, school districts devised alternative ways to serve Chapter 1 students who attend private schools. The most prevalent method is to have the students come to public schools for Chapter 1 instruction.
- About one-fifth of the districts that have Chapter 1 private school students applied for and received funds for capital expenses. Most funds went for the purchase of property, followed by transportation costs.
- When asked about the effects of capital expenses funds, district coordinators responded that more money was available for Chapter 1 services for both public school students and for private school students.

Innovation Projects

- Nationwide, only about 3 percent of districts report operating innovation projects.
- Based upon our site visits in nine states, it appears that SEA views and policies have affected districts' views towards innovation projects. Those states that promote innovation projects tend to have districts operating them.

Necessity of Chapter 1 Requirements

- Coordinators rank student selection, needs assessment, and evaluation procedures as the most necessary Chapter 1 requirements.
- They rank the same items, though in a different order (namely, evaluation, needs assessment, and student selection procedures) as the most burdensome Chapter 1 requirements.

EVALUATION

States and districts faced new evaluation requirements subsequent to the enactment of the Hawkins-Stafford Amendments. These included moving to an annual testing cycle and measuring the progress of Chapter 1 students in the regular school program.[1] Each of these is discussed below.

Annual Testing Cycle

The regulatory provision that districts evaluate student achievement annually (either on a fall-to-fall or on a spring-to-spring basis) was implemented smoothly. Nearly 82 percent of the districts reported an annual testing cycle was in place for the 1989-90 school year; this increased to 95 percent for 1990-91. The vast majority use a spring-to-spring schedule (76 percent and 87 percent, respectively, for the two school years).

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[1] The amendments also contain three other new evaluation issues--assessing basic and advanced skills, desired outcomes, and the needs of Chapter 1 students who have been in the program for two consecutive years and have not shown gains. These are discussed in Chapter 2, Program Improvement.

In a number of the states visited for this study, most districts had been following annual testing cycles prior to the regulatory requirement. In other states, the state Chapter 1 office aided the transition. Some sponsored workshops for districts as they instituted the shift, with suggestions on statistical matters, such as correcting for regression to the mean, and on ways to ease the transition from fall to spring testing. Although they do not have the authority to do so, a couple of states have permitted selected districts to retain fall-to-spring testing cycles, either by direct decision (e.g., for places with extremely high mobility rates) or by default (e.g., in a state known for local control over Chapter 1 matters).

Site visits to districts found a remarkable absence of consternation over the change to an annual cycle, even though prior to the 1988 Amendments, a common theme in debate was that large numbers of districts used fall-to-spring testing and resisted annual testing because they expected poorer outcomes. Almost universally, the requirement for annual achievement tests has been welcomed because it lessens the testing burden placed on students and staff. Most places report that Chapter 1 now uses the standardized achievement test that the district administers in the spring as part of its own testing program. In 1985-86, only 35 percent of the districts said that all test results for Chapter 1 evaluation came from district-wide testing, but that number increased to nearly 60 percent for 1990-91.

When asked about issues that were raised in the shift to an annual cycle, not one of the districts visited for this study expressed concern over lower gain scores. In fact, the only negative comments were in the form of occasional mild regrets about losing fall test scores that had been useful diagnostic tools.

Measuring Progress in the Regular School Program

One of the stated purposes of Chapter 1 is to help students "succeed in the regular program of the local educational agency." Accordingly, regulations require that school districts measure the progress Chapter 1 participants make in the basic school program. They state that districts must include in their evaluations "a review of Chapter 1 participating children's progress in the regular program . . . [that] may be based on teacher judgments, grades, retention rates, and other appropriate indicators of success" (34 CFR 200.35).

The nine states visited gave varied guidance to their districts on ways to implement this provision. Some suggested reliance on existing state assessments or achievement tests. Others include the issue in application procedures or monitoring reviews. One state devised a rather elaborate process that links desired outcomes with the assessment. There, districts must select desired outcomes from those stipulated by the state, one of which is "progress in the regular school program" as measured by grades earned in reading or mathematics, teacher observations or surveys, writing samples, promotion rates, attendance, criterion-referenced tests, or informal reading inventories.

According to the national survey of district Chapter 1 Coordinators, districts are using a variety of methods to assess Chapter 1 students' performance in the regular school program. (See Exhibit 6.1.) Nearly three-quarters use the same achievement tests as for the Chapter 1 program; about three-fifths use results from district or state-administered tests. Other methods include anecdotal information from teachers (59 percent), criterion-referenced tests or checklists of skills (48 percent), end-of-chapter or textbook tests (42 percent), or additional tests (30 percent). Furthermore, norm-referenced tests are used exclusively by 13 percent of the districts, while 84 percent of the districts use at least one alternative to standardized tests.

Although this area was not directly addressed during site visits to districts, it appears that staff often implement the procedures, but stop short of using test results as tools for improving Chapter 1 programs. In other words, few programs are modified as a result of lessons learned concerning students' progress in the regular educational program. This situation may change, of course, as districts become more familiar with the methods of assessment and obtain more data.

PRIVATE SCHOOLS AND CAPITAL EXPENSES FUNDS

Serving educationally disadvantaged children, regardless of whether they attend public or private schools, has been the cornerstone of Chapter 1 since its original enactment as Title I in 1965. The law requires a school district to provide private school students with Chapter 1 services that are equitable to the ones provided to public school students. The law also requires

Exhibit 6.1

MEASURES USED TO ASSESS CHAPTER 1 STUDENT PERFORMANCE IN THE REGULAR SCHOOL PROGRAM

What methods are used to assess Chapter 1 student performance in the regular school program?

	Percent of Districts[1]
Same achievement tests as for the Chapter 1 program	74%
Test results from district or state administered testing programs	63
Anecdotal information from classroom teachers	59
Criterion-referenced skills tests or checklists	48
End-of-chapter or textbook tests	42
Additional tests to those used for the Chapter 1 program	30
Other measures	6

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[1] Total exceeds 100 percent because districts checked more than one category. The weighted base N for the number of districts is 14,583. Nonresponse rate was 2 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

these services for private school students to be developed in consultation with private school officials.[2]

Up until the mid-1980s, most Chapter 1 private school students were served by school district employees who went into the private school and provided supplementary instruction, usually through pullout programs. In 1985, the United States Supreme Court ruled in *Aguilar v. Felton* that public school personnel were prohibited from providing Chapter 1 instructional services in religiously affiliated schools.

With guidance from the U.S. Department of Education, states, school districts, and private school officials worked to devise alternative service delivery methods. Some solutions were quickly and cheaply achieved. Others, however, entailed lengthy negotiations and steep costs. Chapter 1 services to private school students are now offered in a variety of ways:

- A mobile van parks near the private school and students enter it for teacher-led instruction or to work on computers (supervised by either a teacher or a technician).
- Modular classrooms have been set up near, but not in, the private school and students go there for Chapter 1 instruction.
- Private school students attend classes at a public school--either during the regular school day or after school, either by walking or by being transported to the public school.
- Either during or after school hours, private school students attend classes at a neutral site.
- Computer-assisted programs requiring no person-to-person Chapter 1 instruction have been placed in the private school.

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[2] Virtually all private schools with eligible Chapter 1 students are religiously affiliated institutions. To maintain the separation of church and state established in the First Amendment, an important distinction is made in the Chapter 1 program: the program serves private school students, not schools.

Methods of Service Delivery

Estimates derived from the national survey data show that in 46 percent of the districts, no low-achieving children live in Chapter 1 attendance areas and are enrolled in private schools; therefore, these districts serve no private school students. (See Exhibit 6.2.) Another 41 percent of the districts reported that some or all of the private schools have chosen not to have students participate in any federal program. Sixteen percent of the districts indicated that some (or all) private school officials or parents declined to participate in Chapter 1, given the available options. In 59 percent of the districts that are serving children who attend private schools, the survey respondents reported that the proportion of eligible students served is roughly the same for both public and private school students.

Approximately 20 percent of the school districts serve Chapter 1 students who attend private schools. Among Chapter 1 students attending private schools, 32 percent receive services through computer systems, 29 percent through mobile vans, and 24 percent in neutral sites. Just 12 percent of Chapter 1 students in private schools receive services in a public school; the remaining 2 percent of students receive Chapter 1 services through other means. (See Exhibit 6.3.)

Data from site visits indicated similar results. District-level staff said that in selecting methods of service delivery, they consult with private school officials and try to accommodate their preferences whenever possible. Several have gone through changes, first using, for example, neutral sites then shifting to mobile vans. Learning what works best is a process experienced by both public and private school staff.

Many respondents indicated that no rough spots remained in working through the issue of private school students' participation in Chapter 1. Several sites said that the number of participating private school students had dropped markedly after Felton but was again on the rise.

Previous studies have mentioned the "vendor effect" (manufacturers targeting offerings specifically for Chapter 1 programs) that seemed to follow the implementation of the Felton

Exhibit 6.2

PARTICIPATION OF PRIVATE SCHOOL STUDENTS IN CHAPTER 1

Which of the following best describes the participation of private school students in the Chapter 1 program?

	Percent of Districts[1]
None are participating because no low achieving children living in Chapter 1 attendance areas attend private schools	46%
Some or all private schools have chosen not to have their students participate in any federal program	41
Some or all private school officials and/or Chapter 1 parents have declined participation given the program design options available (such as, they do not want student to leave the private school building)	16
Among private schools whose students participate, the proportion of eligible private schools students served is roughly the same as the proportion served among eligible public school students[2]	59
The district has been bypassed[3]	3
Other	1

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[1] The weighted base N for the number of districts is 11,440. Excluded from the base N are districts with no private schools. The nonresponse rate is 14 percent.

[2] The weighted base N is 2,462, with a nonresponse rate of 9 percent.

[3] Some jursidictions have constitutional prohibitions against serving private school students. Chapter 1 contains statutory provisions that establish procedures for the U.S. Department of Education to "bypass" these agencies and arrange for private school students to receive services.

Total adds to more than 100 percent because districts checked more than one category.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 6.3

METHODS USED TO SERVE PRIVATE SCHOOL STUDENTS IN CHAPTER 1

What percent of private school students being served in your Chapter 1 program receive services through each of the following methods?

	Percent of Students[1]
Computer system [in private schools]	32%
Mobile vans	29
Neutral sites	24
Public schools	12
Other ways	2

---

[1] Only districts that serve private school students are included. Weighted base N is 2,294. The nonresponse rate is 19 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

decision.[3] This research, too, finds some evidence of a vendor effect but of a different sort. Several sites report using computer-assisted instruction for private school students, especially one package that promises to address both basic and more advanced skills. It appears that this is often instituted in the public schools, and then extended to private school students. To some officials, computer-assisted instruction is more appealing than other program design alternatives in that participation can take place during the school day with no one leaving the building.

Capital Expenses

To comply with the Aguilar v. Felton decision, districts often incurred noninstructional expenditures to implement alternative delivery systems. To offset these costs, the Congress authorized a category of "capital expenses" in the Hawkins-Stafford Amendments. For FY 1989 and FY 1990, \$19.8 million and \$25.6 million were appropriated, respectively.

Instructions issued by the U.S. Department of Education informed Chapter 1 recipients to take the costs of capital outlays for private school students "off the top" of the entire grant. [Chapter 1 Policy Manual, April 1990, p. 85]. That is, the guidance stipulated that these costs are administrative, not instructional, so they should not be deducted from the portion of the Chapter 1 grant that districts had allocated (usually on a per pupil basis) to serve private school students.[4]

According to estimates derived from the national survey of district Chapter 1 Coordinators, about one-fourth of the districts with participating private school students applied to their states for capital expenses; nearly all of them (88 percent) received some funds. When asked about the effects of receiving funds for capital expenses, districts were nearly evenly divided in responding that more operating funds are now available for Chapter 1 services for public school students (71 percent) and for private school students (75 percent).

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[3] See, for example, Knapp, Michael et al. (1986). Local Program Design and Decisionmaking Under Chapter 1 of the Education Consolidation and Improvement Act. Menlo Park, CA: SRI International, and Wilber, Nancy R. et at. (1986). State and local Administration of the Chapter 1 Program. Appendix Volume. Cambridge, MA: Abt Associates Inc.

[4] This guidance had been challenged in several courts. To date, the U.S. Department of Education's interpretation has been upheld in two federal district courts (Board of Education of the City of Chicago v. Sanders and Walker v. San Francisco Unified School District). A third federal district court ruled against the off-the-top formula, but that decision was overturned by the U.S. Court of Appeals for the Eighth Circuit (Pulido v. Alexander). Americans United for Separation of Church and State have decided not to appeal that ruling to the U.S. Supreme Court (Education Week, September 4, 1991, p. 43).

The median amount these districts received and the purposes for which they were spent are presented in Exhibit 6.4. Purchasing property (including mobile vans) is an expensive option, with a median grant amount of nearly $50,000. Not many districts (only 17 percent) have purchased property. Nearly half of the districts report using the money for "other comparable goods and expenses." The same proportion spends funds on transportation.

Among the states visited, states awarded the funds based on district need. In a few cases, the state has only one or two large school districts (where most of the Chapter 1 private school students are found). There, the state department tried to give some special attention to the fiscal stresses these districts might have experienced due to their capital outlays. In other places, the state encouraged the use of money from the capital expenses fund for specific purposes. A couple of states left purchasing decisions to districts and allocated the money on a per capita or as-needed basis.

Some confusion appears to exist over the use of capital expenses money. One state told its districts that the funds could be used as reimbursement for any expenditures incurred before the enactment of the Hawkins-Stafford Amendments, but only for capital outlays after the bill was signed into law. Staff in another state said, "There have been a lot of misunderstandings on the use of capital expenses funds. As we monitor, we find that computer equipment [in the private schools] is used for all students [not just Chapter 1 students]." One local coordinator in a third state spent the money on computer equipment for a public school because the portable classrooms, for which the reimbursement was intended, had been paid for earlier; purportedly, the state told the district to use the money for anything as long as it was a capital expense. Capital expenses funds are not to be used to purchase computer equipment, only to install it.

INNOVATION PROJECTS

The Hawkins-Stafford Amendments authorize Chapter 1 expenditures for "innovation projects." With the approval of the state educational agency, local school districts may spend no more than 5 percent of their Chapter 1 grant to (34 CFR 200.4):

Exhibit 6.4

USES OF CAPITAL EXPENSES FUNDS AND MEDIAN DISTRICT AWARDS

Across the years for which payment was received from the state, indicate the amount of Chapter 1 capital expenses funds and the purposes for which funds were expended.

	Funds Spent[1]	Percent of Districts Using the Option	Median Award
Purchase of real and personal property	$14,052,530	17%	$50,000
Transportation	3,691,313	42	$ 2,279
Other comparable goods and expenses	2,120,187	42	$ 2,549
Lease of real and personal property	2,075,719	35	$ 1,484
Maintenance	1,513,040	17	$ 1,500
Renovation of real and personal property	595,011	5	$ 5,285
Insurance	431,823	8	$ 2,413
Total	$24,479,623		

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[1] The table reports only on districts that serve private school students, that applied for capital expenses reimbursements, and that received capital expenses funds. The item was asked only of mail respondents. The weighted base N is 514. The nonresponse rate is 6 percent. The second column adds to more than 100 percent because respondents chose multiple categories.

Source: District Survey of Chapter 1 Implementation, 1990.

- Continue serving previous Chapter 1 participants to maintain the level of academic progress they had made in the Chapter 1 program;
- Continue services to eligible children who were transferred, as part of a desegregation plan, to schools or areas not participating in Chapter 1;
- Award incentive payments to schools that have demonstrated significant progress and success in achieving the Chapter 1 goals;
- Train teachers and librarians regarding the needs of Chapter 1 children and the integration of Chapter 1 activities into regular classroom programs;
- Conduct innovative or exemplary parent involvement activities;
- Encourage the involvement of community and private sector resources; and
- Assist schools involved with the program improvement process.

According to estimates derived from the national survey of district Chapter 1 Coordinators, only about 400 districts (3 percent of districts) operated an innovation project in 1989-90, and the same number did so in 1990-91. The most prevalent activities supported through innovation projects are the continuation of services to children who previously participated in Chapter 1 (75 percent with innovation projects report this activity), parent involvement activities (59 percent), and training teachers and librarians (43 percent). Three percent of the districts used funds as incentive payments to schools that demonstrated significant progress toward or success in meeting Chapter 1 goals (Exhibit 6.5).

In general, innovation projects are not very popular among the states and districts visited. States do not often promote their use, so some school districts are unfamiliar with their possibilities. Of the nine states visited for this study, only one actively encourages districts to consider using Chapter 1 funds for innovation projects. One consciously discourages their use, saying that there is "no sense" to them. Other states are neutral, as reflected in the comments of one official:

> We do not discourage them. We have none of them. We really haven't gotten into it. It is not a high priority for us. We really focus on program improvement and schoolwide projects. You can do the innovation project activities through traditional means.

Exhibit 6.5

COMPONENTS OF CHAPTER 1 INNOVATION PROJECTS

Which of the following components are now part of your innovation project?

	Percent of Districts[1]
Continuation of services to children who received services in any preceding year	75%
Innovative approaches to parent involvement or rewards to or expansion of exemplary parent involvement programs	59
Training of Chapter 1 teachers, regular teachers, and librarians in the needs of eligible children and integration of Chapter 1 activities into regular classroom programs	43
Encouraging the involvement of community and private sector resources in serving eligible children	37
Assistance by the district to schools identified as in need of program improvement	28
Continuation of services to children who are transferred to ineligible areas or schools as part of a desegregation plan	21
Incentive payments to schools that have demonstrated significant progress or success in Chapter 1	3

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[1] Total adds to more than 100 percent because districts checked more than one category. The weighted base N for the number of districts with innovation projects is 460. The nonresponse rate among those with innovation projects is 14 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Few districts have chosen to apply for approval to operate an innovation project. However, applicants are almost never turned down (99 percent of those that sought approval are operating innovation projects). When the submission is not approved, according to state staff, it is because the proposed activities are not within the bounds established by the law. For example, soon after the initial implementation of the Hawkins-Stafford Amendments, some districts misinterpreted this category as support for "innovative" rather than "innovation" projects; these sites proposed interesting ideas, but not ones that would pass statutory muster. Early misunderstandings are now mostly past, however.

Of the districts visited for this study, four are operating innovation projects:

- One supports a compensatory education advisory committee at each Chapter 1 school.
- Another uses the money for two activities: a statewide parent involvement program and for transition needs as a school's program becomes bilingual.
- A high school offers a combined video technology and language arts program.
- A joint preschool and parent education program has begun in a fourth district.

Staff in the four districts gave several reasons for applying for approval to operate innovation projects. Two are in the state that has actively encouraged such uses of Chapter 1 funds; district staff in a different state thought that paying for private sector personnel would be more palatable if listed in this section of the application; and the fourth district found flexibility in the authorizing language to serve their needs.

From the school district perspective, innovation projects are not very desirable or necessary. Personnel in some school districts visited claim that almost all of the allowed activities could be funded under existing Chapter 1 authority without resorting to the need for additional state approval. In still other cases, districts report that their Chapter 1 funds are stretched so thinly that nothing remains for anything "innovative." In several locations, respondents seemed to have little knowledge of the option.

One interesting perception is worth noting. In one school district, a parent group learned that the new law contained a provision for innovation projects and ascertained that parent involvement activities were an allowable use. They look upon this pot of funds, amounting to $350,000, as "their" money.

NECESSITY AND BURDEN OF CHAPTER 1 REQUIREMENTS

In the national survey of district Chapter 1 Coordinators, respondents were asked to rank eleven Chapter 1 requirements in terms of their necessity and their burden. The opinion of district Chapter 1 Coordinators is that the most necessary requirements are also those that create the most burden. Ranking and selecting students was judged to be the most necessary requirement, followed by needs assessment procedures and then evaluation procedures (Exhibit 6.6). Evaluation procedures were designated most burdensome, followed by needs assessment procedures and ranking and selecting students (Exhibit 6.7). These rankings match those for the 1985-1986 District Survey of Chapter 1 Coordinators.

Exhibit 6.6

DISTRICT COORDINATOR RANKING OF THE NECESSITY OF CHAPTER 1 REQUIREMENTS

Listed below are 11 categories of requirements in the Chapter 1 law and regulations. Based on your experience, which of these requirements are the most necessary for attaining the objectives of the program? The least necessary?

	NECESSITY[1] Rank from 1 to 11, with "1" as most necessary, "2" next most necessary, etc.
Ranking and selecting students	2.5
Needs assessment procedures	3.3
Evaluation procedures	4.3
Parent involvement	4.6
Ranking and selecting project areas	5.4
Adequate size, scope and quality provisions	6.1
Supplement-not-supplant provisions	6.6
New provisions for program improvement	6.9
Maintenance of effort provisions	7.7
Comparability procedures	8.7
Private school student participation	9.8

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[1] The weighted base N is 12,585. Nonresponse rate is 16 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 6.7

DISTRICT COORDINATOR RANKING OF THE BURDEN OF CHAPTER 1 REQUIREMENTS

Listed below are 11 categories of requirements in the Chapter 1 law and regulations. Based on your experience, which of these requirements are the most burdensome or require the most paperwork?

	BURDEN[1] Rank from 1 to 11, with "1" as most burdensome, "2" next most burdensome, etc.
Evaluation procedures	3.5
Needs assessment procedures	4.2
Ranking and selecting students	4.8
Parent involvement	5.0
New provisions for program improvement	5.5
Comparability procedures	6.6
Maintenance of effort provisions	6.7
Supplement-not-supplant provisions	6.9
Ranking and selecting project areas	6.9
Adequate size, scope and quality provisions	7.3
Private school student participation	8.4

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[1] The weighted base N is 12,099. Nonresponse rate is 19 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

CHAPTER SEVEN

STATE AND LOCAL RELATIONS

OVERVIEW

The interactions between school districts and their State Education Agency (SEA) Chapter 1 offices reflect a long history of Title I and Chapter 1 program administration. The new roles in program improvement assigned to SEAs by the Hawkins-Stafford Amendments are being carried out in conjunction with an existing state role: communicating all the provisions of the law and regulations to local Chapter 1 staff so as to minimize improper uses of funds. This has been a central responsibility and concern of the SEA Chapter 1 offices for decades, and it sets the tone for much of their work.

This chapter discusses the interactions between local Chapter 1 program staff and their SEA Chapter 1 offices. It describes the routine interactions in state-local relationships as well as the newer responsibilities and initiatives now found in the states. It also discusses the variation in priorities across states. Our findings on state and local relations include the following:

- In three of the nine states we visited, there is a formal split between programmatic and fiscal responsibilities, with a different office responsible for each.

- According to the survey, most state-local interactions revolve around program mechanics, especially application preparation and review; within the applications, the most common problem area is arithmetic errors.

- Districts report that monitoring visits most often include attention to two areas that receive new emphasis in the law, parent involvement and program coordination, as well as the perennial concerns of program design and student targeting.

- Almost all districts find their SEA Chapter 1 office helpful in some way; the most frequent areas of help include budget, parent involvement, program design, student targeting, and other needs assessment issues. Districts also give their SEAs very high ratings for forthrightness and availability.

- The new provisions for program improvement represent a major challenge for SEA Chapter 1 offices, according to our site visits, and they are having some difficulty staffing up to cope with their new responsibilities.

RESPONSIBILITIES AND STRUCTURE OF SEA PROGRAM ADMINISTRATION

The SEAs are a crucial link between the federal and local levels in the Chapter 1 program. To understand the SEAs' responsibilities, it is important to bear in mind that most local program coordinators are unable to put much time into developing a detailed understanding of the program's provisions: 55 percent of them spend 10 percent of their time--or less--on Chapter 1 administration. Necessarily, these local coordinators depend on their SEAs to keep them up to date on the law's purposes, requirements, and possibilities. Furthermore, the turnover among local coordinators means that the SEAs are constantly orienting a group of new coordinators to the basics of program operations.

In addition, the Hawkins-Stafford Amendments gave the SEAs new work to do in the area of program improvement. State program improvement plans established standards by which schools would be identified for program improvement. For schools that fail to show improved performance after implementing their own plans for a year, the SEAs are required to participate in developing and carrying out joint state-local improvement plans.

Chapter 1 in the SEA Organizational Structure

Although we refer to "the SEA Chapter 1 office" as though it were a single organizational unit, in fact the responsibilities of Chapter 1 administration are somewhat dispersed within SEAs. At a minimum, certain specialized functions--especially evaluation--are generally carried out by people who do not work exclusively with Chapter 1.

An even more decentralized arrangement is found in three of the nine SEAs we visited. These SEAs have split the responsibility for Chapter 1 program administration between two different offices, so that the person with the title of State Chapter 1 Coordinator supervises only a portion of the administrative responsibilities. In each case, the split is roughly between procedural and programmatic matters, but the details of the arrangements vary among states:

- A large state has two divisions playing major roles in Chapter 1 administration. The division of funding and compliance takes the lead in application review and monitoring; the division of programs reviews proposals for schools in need of improvement and provides instructional and administrative support to districts and schools on program improvement, schoolwide projects, and parent involvement. Staff on both sides acknowledge that the funding and compliance division is the more powerful one. One said, "LEAs aren't going to listen to program people because they don't have the money."

- The Chapter 1 coordinator in a large state heads an office that reviews the parts of applications dealing with program improvement and schoolwide projects; this office also conducts technical assistance on programmatic matters. Another part of the SEA reviews and approves the rest of the applications and takes the lead in monitoring. The districts we visited appear more attentive to the direction of this latter office.

- In a small state, the Chapter 1 office and a basic skills office share the responsibility of application review and monitoring; the basic skills staff look at programmatic issues at local sites, while the Chapter 1 staff ensure compliance with fiscal and procedural requirements. The Chapter 1 office currently has responsibility for the program improvement provisions because the basic skills office has declined to take on this role.

Involvement of Other Individuals and Organizations

To handle the workload associated with onsite monitoring, some of the states visited employ current or former Chapter 1 staff from the local level. One state's monitoring teams are led by state employees but are otherwise composed of local staff; another state relies in part on retired Chapter 1 coordinators to conduct monitoring visits. Our data suggest that this dispersal of monitoring responsibilities sometimes interferes with the consistency of the monitoring message. In one of the states visited, the monitors (who were trained for this role in previous years) do not share the state coordinator's emphasis on program improvement but instead emphasize compliance in administrative details. Similarly, they have not communicated the coordinator's wish for stronger coordination between Chapter 1 and other programs such as migrant education and special education.

Some states visited cite the federally funded Technical Assistance Centers (TACs) and Rural Technical Assistance Centers (RTACs) as useful resources for program improvement. These centers have offered workshops and other forms of assistance at the state and local levels.

One state also gives credit to its regional educational laboratory for helping districts and schools with program improvement.

CONTACT BETWEEN DISTRICTS AND SEAS

In virtually every district (98 percent), Chapter 1 staff members have had contact with their SEA Chapter 1 office over the past 12 months either in person or by telephone. The frequency of state-local contact varies a great deal, but the median number of contacts is 10, and the mean is 12. We discuss here the major elements of state-local contact, which are application procedures, monitoring, and interactions around program improvement.

Applications

The preparation and review of applications provide the occasion for most districts' contacts with their SEAs:

- The most widespread type of state-local contact is local attendance at an SEA workshop on application preparation, reported by 84 percent of districts (Exhibit 7.1).
- Administrators in 77 percent of districts asked the SEA a question about their application; those in 70 percent of districts received a question from the SEA about their application. (This latter figure is the total of districts that received questions about a minor or a major matter.)

Most districts receive only minor questions concerning their applications. Among the 30 percent of districts receiving more significant questions in the past year, the leading topic is the budget, reported by 38 percent of districts (Exhibit 7.2). Other frequently cited areas for questions are program design (23 percent), evaluation issues other than the identification of schools or students not making gains (22 percent), and needs assessment (19 percent).

In interviews, SEA staff echoed this description of the application process. They discussed the importance of informing local coordinators--especially those new to their jobs--about application procedures. They described, sometimes ruefully, the amount of time they spend reviewing applications. "It takes us all summer and well into the school year," said one

Exhibit 7.1

DISTRICT CHAPTER 1 OFFICE INTERACTIONS WITH STATE CHAPTER 1 OFFICE

Which of the following types of interactions have you or your Chapter 1 staff members had with your SEA Chapter 1 office over the past 12 months?

	Percent of Districts[1]
Attended a workshop on application preparation	84%
Asked the SEA a question about our application	77
Attended an SEA workshop that dealt with the program improvement and accountability provisions under Hawkins-Stafford Amendments	68
Received a question from the SEA about a minor matter (e.g., an arithmetic error on our application)	63
Attended an SEA workshop that dealt primarily with administrative matters (other than application preparation)	55
Asked the SEA a question about program mechanics	53
Had a monitoring visit from the SEA	42
Asked the SEA a question about educational services	39
Attended an SEA workshop that dealt primarily with educational services	32
Received a question from the SEA about a more significant matter on our application	29
Served as a monitor for other local Chapter 1 programs	5
Served on the state's Committee of Practitioners	4

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[1] Total exceeds 100 percent because many districts had more than one type of interaction. Weighted base N is 14,679. The nonresponse rate is 1 percent.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 7.2

STATE CHAPTER 1 OFFICE QUESTIONS ON DISTRICT APPLICATIONS

After you submitted the application or annual update to the SEA for 1990-91, in what areas (if any) did the SEA have significant questions?

	Percent of Districts[1]
The SEA had no questions or only minor questions (e.g., correcting arithmetic errors)	70%
Budget	38
Program design	23
Evaluation issues not covered elsewhere	22
Other needs assessment issues	19
Student eligibility and selection of those in greatest need	16
Identification of schools in need of improvement	16
Parent involvement	14
School attendance area eligibility and targeting	13
Plans to work with schools in need of improvement	11
Coordination with the regular instructional program	10
Identification of students not making gains	8
Private school student participation	7
Comparability	6
Supplement, not supplant	5
Schoolwide projects	4
Maintenance of effort	3
Innovation projects	2
Coordination with other federal and state education programs	2
Size, scope and quality provisions	1

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[1] Total exceeds 100 percent because districts checked multiple items. The weighted base N for the first response is 13,839. The weighted base N for the other responses is 4,163. The item nonresponse rate is 7 percent.

Figure reads: Of these districts getting questions from the SEA, 13 percent of districts received questions about school eligibility and targeting.

Source: District Survey of Chapter 1 Implementation, 1990.

state coordinator. Another coordinator estimated that 60 percent of staff time goes into application review.

When asked about the issues they find in local applications that necessitate contact with districts, the answers were quite consistent across states. One state coordinator described them as technical issues, notably the use of incorrect procedures for evaluating basic and advanced skills, as well as arithmetic errors on the application itself ("the same old math problems and inconsistencies"). Staff members in another state cited a similar set of recurring problems: errors in arithmetic, missing information, and failure to understand what information is required. They attributed the latter two types of problems to the turnover among local staff, which requires them to provide the same technical assistance year after year. The coordinator in another state reported a different concern about local applications: the number of local programs that have done a poor job assessing their needs.

Monitoring

Like application review, monitoring occupies a massive amount of staff time for Chapter 1 SEA offices. Many Chapter 1 staff members spend at least half their time on the road during the school year. In states with many small districts, a typical monitoring visit may take only one day, but those days add up to a major time commitment. Large districts have lengthy visits involving sizable teams of state staff and sometimes outside consultants.

As the vehicle for the greatest amount of personal contact between local educators and the larger Chapter 1 system, monitoring visits play an important part in communication. In part, they serve a straightforward informational purpose; a typical comment by a state staff member is that monitoring visits are an opportunity to "make districts cognizant of the regulations." Somewhat more broadly, the expressed concerns of the monitors and the type of information that answers their questions communicate an overall message about the focus of the Chapter 1 program.

The 50 percent of districts that have had a monitoring visit from the SEA in the past year have found the monitors most likely to examine the following areas, as shown in Exhibit 7.3:

Exhibit 7.3

AREAS EXAMINED DURING STATE CHAPTER 1 MONITORING VISITS

If your Chapter 1 program has had a monitoring visit from the SEA in the past 12 months, which of the following areas did the monitors examine?

	Percent of Districts[1]
Not applicable; we have not had a monitoring visit in the past 12 months	50%
Parent involvement	89
Student eligibility and selection of those in greatest need	85
Program design	83
Coordination with the regular instructional program	74
Budget	70
Supplement, not supplant	69
School attendance area eligibility and targeting	58
Other needs assessment issues	58
Maintenance of effort	57
Comparability	54
Size, scope and quality provisions	51
Coordination with other federal and state education programs	47
Identification of students not making gains	38
Private school student participation	37
Evaluation issues not covered elsewhere	20
Identification of schools in need of improvement	19
Plans to work with schools in need of improvement	13
Schoolwide projects	11
Innovation projects	9

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[1] Total exceeds 100 percent because districts checked multiple items. The weighted base N for the first response is 13,096. The weighted base N for the other responses is 6,611. The item nonresponse rate is 12 percent.

Figure reads: Of these districts that had monitoring visits, 89 percent responded that the SEA monitored parent involvement.

Source: District Survey of Chapter 1 Implementation, 1990.

- Parent involvement (89 percent of districts that have been monitored);
- Student eligibility and selection of those in greatest need (85 percent);
- Program design (83 percent); and
- Coordination with the regular instructional program (74 percent).

These topics reflect a blend of old and new concerns. Parent involvement, while a part of the program for many years, is of course receiving a new type of emphasis under the Hawkins-Stafford Amendments. Coordination with the regular program is also receiving new emphasis. Simultaneously, states are maintaining their focus on program design (almost a catch-all topic) and student eligibility, which have been a key element of compliance with the legal framework for decades.

Indeed, monitoring visits underscore the priority that SEAs place on the proper targeting of Chapter 1 services. To local Chapter 1 staff and classroom teachers, the state monitors often communicate intense concern about serving the right students and no others. Showing the monitors their rosters of Chapter 1 students and matching each student's name with a record of a proper selection process is a big part of the visit--often the only part that teachers can recall when asked.

A similar procedure characterizes the monitoring of parent involvement, we learned; local staff show the monitors their sign-up sheets from events for parents. This may help explain our finding that the primary means of evaluating parent involvement revolves around these attendance records.

Monitoring is undergoing some change as a result of the new law. State Chapter 1 coordinators recognize that their new responsibilities in program improvement may prevent them from maintaining their routine monitoring at its present level of intensity.

- Two coordinators who agree strongly with the law's new emphases say they have already cut back their routine monitoring. One calls this "a very deliberate effort to cut down on the routine paperwork, spend less time on compliance and more time on programmatic issues"; this coordinator has moved from a two-year monitoring cycle to a three-year one.

- Other states are struggling to maintain their commitment to past methods of monitoring. In a small state with a very small Chapter 1 staff, the coordinator expresses the wish to work closely with teachers, while acknowledging that this is not a realistic goal for the monitoring process. In a medium-sized state with many small districts, the SEA staff are feeling the strain of maintaining their traditional monitoring duties while also paying special attention to the schools identified for program improvement.

The State Role in Program Improvement

The program improvement and accountability provisions of the Hawkins-Stafford Amendments have been the subject of a great deal of state-local contact. Sixty-eight percent of districts report that staff members have attended an SEA workshop dealing with these provisions. So far, the minimum elements of the state role in this area have included developing a state plan, communicating the basic requirements to districts, following up on districts' adherence to these requirements, and distributing state program improvement funds. At the time of our visits, no schools had yet fallen under the requirement for a joint state-local plan as a result of poor performance under a local plan. Beyond this minimal role, which is itself a demanding one for SEA staff, states are also attempting to offer varying amounts of technical assistance with the improvement process.

In a state taking an especially active stand on program improvement, SEA staff members have provided assistance in the following ways:

- Actively reviewed local improvement plans and, according to the coordinator, often made "strong recommendations to focus on only one or two improvement areas, to develop a vision of what they want to do and to set up leadership teams";
- Conducted regional workshops for districts and schools; and
- Provided scholarships for teachers to receive six weeks of professional development in two consecutive summers.

With new schools being identified each year, the state coordinator is apprehensive about being able to maintain a strong program of assistance. The coordinator hopes that the initial group of schools will make rapid progress so that most will need less assistance and some can themselves become resources for the newly identified schools. This coordinator, although enthusiastic about the program-improvement process, readily admits that the prospect of a large number of identified schools is "scary" for the SEA staff.

In these states, the typical SEA staff has about half a dozen people who are trying to make a difference in the improvement of hundreds of low-performing schools. They acknowledge that just visiting each identified school is a massive undertaking.

For the most part, these SEAs are even more apprehensive about the prospect of joint plans. At the time of our visits, most had little idea about how they would handle this responsibility. One state was the exception, however. This SEA welcomes the prospect of having a stronger role in programmatic decisions. Highly critical of those districts that try to spread their Chapter 1 dollars across a large number of schools and students, staff members in this SEA look forward to compelling more intensive program designs. However, this eagerness to take a strong role in program improvement was very much the exception in our sample of states.

The job of distributing state program improvement funds has also been a challenge for these states. The grants have been slow to reach the eligible districts--and, as discussed in our chapter on program improvement, they are not large grants. Thus, the grants' positive effect on the improvement process is rather slight.

How SEAs Help Districts

Across the board, thinking about all their interactions with the SEA, 93 percent of local Chapter 1 coordinators could cite some area in which the SEA had been helpful over the past year (Exhibit 7.4). The leading areas in which SEAs have been helpful include the budget (for 47 percent of districts reporting some SEA helpfulness), parent involvement (46 percent of these districts), program design (40 percent), student eligibility and selection (38 percent), and needs assessment (38 percent).

With the exception of the program improvement and accountability provisions, which have been a major feature of workshop content in the past year, contact between districts and SEAs is more likely to revolve around program mechanics than educational services (Exhibit 7.1):

Exhibit 7.4

AREAS WHERE STATE CHAPTER 1 OFFICE HELPED DISTRICT CHAPTER 1 COORDINATORS

Thinking about all your interactions with the SEA Chapter 1 office over the past 12 months, in which of the following areas (if any) has that office helped you in developing or improving your program?

	Percent of Districts[1]
None; the office has not helped us	7%
Budget	47
Parent involvement	46
Program design	40
Student eligibility and selection of those in greatest need	38
Other needs assessment issues	38
Coordination with the regular instructional program	30
Plans to work with schools in need of improvement	20
Identification of students not making gains	20
Supplement, not supplant	19
Comparability	19
Evaluation issues not covered elsewhere	19
Identification of schools in need of improvement	18
School attendance area eligibility and targeting	17
Coordination with other federal and state education programs	17
Maintenance of effort	16
Private school student participation	12
Size, scope and quality provisions	10
Innovation projects	8
Schoolwide projects	4

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[1] Total exceeds 100 percent because districts checked multiple responses. The weighted base N for the first response is 14,568. The weighted base N for the other responses is 13,586. The item nonresponse rate is 2 percent.

Figure reads: Of these districts reporting that the SEA Chapter 1 office helped them, 46 percent of districts reported help with parent involvement.

Source: District Survey of Chapter 1 Implementation, 1990.

- Fifty-five percent of districts sent staff members to an SEA workshop dealing primarily with administrative matters (other than application preparation), while 32 percent sent staff members to a workshop dealing primarily with educational services.

- Staff members in 53 percent of districts asked their SEA a question about mechanics, while those in 39 percent of districts asked a question about educational services.

In general, district respondents give their SEA Chapter 1 offices high marks. With respect to helping the district comply with the law and regulations, 60 percent say the SEA has made a "major" contribution and 38 percent report "some" contribution (Exhibit 7.5). Even in the area of helping the educational quality of the program, which is less frequently a subject of state-local contact, 34 percent characterize the SEA's contribution as major and 52 percent report some SEA contribution.

Similarly, a majority of respondents give high ratings to the SEA staff's forthrightness in answering questions, which 71 percent characterize as "high," and the availability of staff, rated high by 63 percent (Exhibit 7.6). District staff also report generally favorable perceptions of their SEAs' willingness to explore options, rated high by 55 percent, and the clarity of information SEAs provide, rated high by 54 percent. Only a small proportion of districts (5 to 7 percent) rated the SEA Chapter 1 office "low" on any one of these characteristics--although 12 percent said they do not know about the office's willingness to explore options.

SEA STAFF CAPACITY AND PRIORITIES

Although districts praise their SEAs' accessibility and informativeness, the limits of SEA staff capacity are clear to all--particularly to the SEAs themselves. Coordinators recognize that their staffs are small and not well prepared for their current responsibilities. The reasons differ somewhat from state to state, but common themes emerge:

- Hiring freezes in two states have prevented the coordinators from filling positions.

- Another coordinator points to the low salaries that the SEA offers in comparison with districts, saying, "My best staff person was my fourth choice for the position; the other candidates would have had to take a $10,000 salary cut and move from a ten-month to a twelve-month contract."

Exhibit 7.5

DISTRICT ASSESSMENT OF STATE CHAPTER 1 OFFICE CONTRIBUTION

In general, how would you characterize the contribution of the SEA Chapter 1 office to your Chapter 1 program over the past 12 months?

	Percent of Districts[1]		
	CONTRIBUTION		
	MAJOR	SOME	NONE
The SEA Chapter 1 office has helped our program comply with the law and regulations	60%	38%	2%
The SEA Chapter 1 office has helped the educational quality of our program	34	52	14

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[1] The weighted base N for the first item is 14,560. The item nonresponse rate is 2 percent. The weighted base N for the second item is 14,392. The item nonresponse rate is 3 percent.

Figure reads: Sixty percent of the districts said that the SEA Chapter 1 office made a major contribution to helping their program comply with the law and regulations.

Source: District Survey of Chapter 1 Implementation, 1990.

Exhibit 7.6

DISTRICT ASSESSMENT OF THE CHARACTERISTICS OF STATE CHAPTER 1 OFFICE HELPFULNESS

In general, how would you rate your SEA Chapter 1 office with respect to the following characteristics?

	Percent of Districts[1]			
	High	Medium	Low	Don't Know
Forthrightness in answering questions	71%	22%	5%	2%
Availability of staff	63	27	7	3
Willingness to explore options	55	26	6	12
Clarity of information provided	54	38	6	2

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[1] The weighted base N for the first item is 14,606, for an item nonresponse rate of 2 percent. The weighted base N for the second item is 14,527, for an item nonresponse rate of 2 percent. The weighted base N for the third item is 14,583, for an item nonresponse rate of 2 percent. The weighted base N for the last item is 14,582, for an item nonresponse rate of 2 percent.

Figure reads: Fifty-four percent of the districts gave a "high" rating to the SEA Chapter 1 office on the clarity of information they provided.

Source: District Survey of Chapter 1 Implementation, 1990.

- In yet another state, a cumbersome procedure for high-level approval of personnel actions impedes rapid hiring.
- Whether or not the coordinators can add staff members with recent experience in education programs, they currently have staff members whose experience is in monitoring the fiscal aspects of program compliance. This reinforces the compliance orientation of state-local interactions and tends to dilute the focus on program quality and improvement.

The personal backgrounds and expertise of SEA staff members reinforce an emphasis on fiscal compliance, and in fact this emphasis is a priority of the leadership of many SEA Chapter 1 offices. This results in part from the program's historical focus on the proper spending of funds. The dual focus of several SEA organizational arrangements--where one office deals with fiscal compliance and another deals with educational issues--reflects a duality of focus within state program administration in all states. All states are attending to both compliance and program improvement, and the mixture is an uneasy one. Those coordinators who declare their interest in program quality in the strongest terms remain responsible for the stewardship of federal funds, and they cannot disregard fiscal compliance. For other coordinators, the new legal provisions for program improvement are not particularly welcome, and these coordinators are carrying out the improvement provisions with little enthusiasm.

It is possible that this is a time of transition for SEA Chapter 1 adminsitration. While we found a great deal of stability in the concerns and priorities of several SEAs, we also found several whose coordinators are eager to embark on new programmatic directions. These coordinators express enthusiasm about many provisions of the Hawkins-Stafford Amendments, which they see as a vehicle for making Chapter 1 a different and better program. What remains to be seen is whether these coordinators will develop the staff capabilities to take their districts in the directions they envision.

CHAPTER EIGHT
CONCLUSIONS AND IMPLICATIONS

Preceding chapters present our findings on the implementation of the Hawkins-Stafford Amendments during the second year of implementation. In this chapter, we turn now to some concluding observations about these major new provisions and offer considerations for policy makers as they review the law and plan for the program's 1993 reauthorization.

PROGRAM IMPROVEMENT

Turning around a poorly performing school, particularly a school with a history of poor performance, is a significant undertaking. Were it something that could be done simply and easily, it would not be a continuing issue. It requires instructional leadership, committed and dedicated staff, a reassessment of the objectives and content of the school's program and the role of Chapter 1 within it, sufficient financial resources for planning and implementing change, and time to experiment with and revise instructional approaches and curricula.

The Hawkins-Stafford Amendments have sought to provide leverage for school change in two very important and worthwhile ways: to hold schools publicly accountable for the performance of Chapter 1 students and to provide assistance to poorly performing schools to improve their programs. These processes should continue. If overall Chapter 1 performance is to improve, many schools will need to undertake serious improvement efforts.

The law provides tools that are potentially very powerful, but weaknesses in the process have undermined their effectiveness. First, in many districts, there is little faith in the accuracy of the identification of schools in need of improvement. Rightly or wrongly, schools with no gains or NCE losses are often not seen as poorly performing schools, especially if they have little history of poor performance or if the scores are from small numbers of students. Unless administrators are convinced that a school needs improvement or more improvement than other schools in the district, their reception to the "needs improvement" label is lukewarm at best. When people felt the process had accurately identified schools, then some action was more likely to be undertaken.

Second, policy makers need to recognize that few districts are undertaking program improvement activities of any magnitude. The first year's planning activities are seldom comprehensive, and activities that are "fully implemented" are of modest scope. For example, only about one-third of districts are concentrating any Chapter 1 Basic Grant funds in identified schools, and if the districts visited are typical, the amount of Basic Grant funds used is very small. Furthermore, districts typically perceive the state program improvement funds as the total resources to be used on program improvement, not as the incentive grants that Congress intended. The typical improvement grant, ranging from $230 to $2,300 in schools visited, is insufficient for undertaking major program reform.

We strongly urge states and districts to improve procedures for identifying schools in need of improvement, whatever the number of schools to be identified (more than, fewer than, or the same as in recent years). We feel that the identification and improvement processes holds great promise for leveraging school reform in poorly performing Chapter 1 schools. Our suggestions focus on strengthening these processes.

To improve the accuracy of the identification process, we offer four suggestions:

- **Support development of multiple measures.** Congress urged the use of multiple measures to assess the quality of schools, because added measures could increase the reliability of the school's designation. Available measures, however, are not without flaws, and others (such as performance assessments) are still in development. Furthermore, many states and districts, while dissatisfied with sole reliance on NCE gains, repeatedly spoke of it as the best available measure, well understood by districts, and the least burdensome. ED should continue to urge that thoughtful consideration be given to the development and improvement of additional measures.

- **Assess the quality of schooling over a multi-year period rather than annually**. For example, schools could be identified using performance measures over the last three years (rather than annual gains). Schools that consistently performed poorly (such as two of the last three years) would become part of the school improvement process.

- **Use a composite score of multiple measures in identifying schools**. The advantage of using multiple measures is negated because each measure is applied individually, not in combination. For example, a school with no NCE gains becomes a school in need of improvement even if it demonstrates substantial progress on its desired outcomes. Each additional measure becomes (as district coordinators told us) "one more chance to fall into program improvement." Creation of composite indices would not only increase the reliability and validity of the process but would also lessen reliance on norm-referenced tests. Composite measures could resolve the apparent inconsistency in schools where students perform well on measures of advanced skills but not on measures of basic skills (as was true in several districts in our field work) and allow consideration of relative performance of students as well as student gain.

- **Continue to provide support to districts that lack expertise in evaluation.** Only 5 percent of school districts support some evaluation staff with Chapter 1 funds, and most Chapter 1 coordinators spend little time administering Chapter 1, including its evaluation. This situation is especially true in smaller school districts (fewer than 10,000 students).

To improve the program improvement process itself, we suggest consideration be given to the following:

- **Reinforce the magnitude of the anticipated program improvement effort needed.** Chapter 1 programs could be more strongly encouraged to invest additional resources from the Chapter 1 Basic Grant in identified schools, and not to rely exclusively on the separate program improvement funds. More detail could also be provided on such improvement activities as intensive planning, staff development and replication of promising practices to inform districts of the magnitude of change intended.

- **Assess the effectiveness of the program improvement effort over several years.** We recommend that schools remain in the program improvement process until they are able to sustain student performance over a three year period.

SCHOOLWIDE PROJECTS

The popularity of schoolwide projects is clear. Many of our interviewees hoped that the option could be extended to schools with lower percentages of poverty in the next reauthorization. In considering this possibility, policy makers may want to think about the following conclusions and observations from our study. First, on the positive side, there is a real sense of excitement associated with many of the schoolwide projects we observed. In some sites, this is the first time that Chapter 1 has been at the forefront of ideas about educational improvement. Principals and teachers welcome the resources and the freedom to make the often ambitious changes they want to see in their buildings. Even when the changes are more modest, there is a sense of excitement and enthusiasm--for example, enthusiasm about extending supplemental services more flexibly.

Analyses of our data suggests the need for some caution, however. The checks on poor-quality schoolwide projects that the law envisioned have not yet begun to work effectively. The accountability requirement may become much better understood once it affects larger numbers of schools, but at the time of our fieldwork its effects were negligible. Virtually no one was thinking about it. The requirement for parent involvement has had similarly weak effects at this point, since it can be satisfied with one or two token, poorly attended meetings.

We also observed differences among schoolwide projects. In some cases, no one in the school seemed to be acting on a vision of educational improvement; instead, the changes brought by the project were piecemeal at best. It is hard to say whether these projects are better than what they replaced, but no one should have any illusions that schoolwide projects automatically produce educational benefits.

PARENT INVOLVEMENT

Parent involvement activities have expanded over the last three years. Virtually all Chapter 1 programs have as a key objective communicating with individual parents about their own children's progress in Chapter 1. An increasing number of districts also report training parents to help their own children at home.

Schools are making good efforts to hold the parent-Chapter-1 teacher conferences encouraged in the legislation. Parent-teacher conferences mesh well with other school activities, and some schools are actively pursuing goals of 100 percent participation. Continued support of this activity is clearly warranted.

Our site work identified several characteristics of more effective parent involvement activities that policy makers may wish to support. They include support for:

- a comprehensive approach to parent involvement, for both parents and children (including presentations in parents' native language);
- parent specialists or parent liaisons for outreach and provision of services; and
- active dissemination of good practices.

One characteristic of schools with effective parent involvement is the conscious attention paid to pursuing multiple ways to interest parents in schooling, whether related to the child or to themselves. A comprehensive approach, when well implemented, appears to benefit all parties and could be further encouraged.

A comprehensive approach also need not restrict itself solely to services within the school building. Among the more effective practices found during our site visits were home visits to parents, parents meeting among themselves about education-related issues (such as disciplining their children), and the use of take-home computers. The references in the Hawkins-Stafford Amendments to linkages with adult literacy or special activities for parents who lack literacy or English language skills were a good first step.

Another characteristic of Chapter 1 schools with effective parent involvement activities was the employment of trained parent specialists or parent liaisons, usually (although not always) recruited from among parent volunteers to the school. Personal outreach into the community appears to be crucial in reaching parents who are isolated by such factors as high poverty, language differences, or family problems. Policy makers may wish to consider more explicit support for parent specialists or liaisons in Chapter 1.

The more effective parent involvement programs were characterized by committed leadership, dedicated staff, respect for and a welcoming attitude toward parents, and recognition of parents' needs. At least one of these attributes was missing in the schools with less successful parent involvement efforts, where staff reported continued frustration with their efforts and a belief that families were avoiding responsibility for initiating contact with the schools. Such staff may learn much from active dissemination of good practices.

STUDENT IMPROVEMENT

The improvement process was also to identify Chapter 1 students who have not made significant gains during two consecutive years in Chapter 1. For such students, changes were to be made in the Chapter 1 program to accommodate their needs. The message implicit in this new provision -- that students should not spend their entire school career in Chapter 1 -- has not been heard. While a few districts have instituted procedures to identify children, very few schools that we visited were aware of the provision. Nevertheless the process, when implemented, has promise. Under some state school improvement plans, for example, a few of the schools we visited had adopted a case management approach for those students having trouble learning. In regular meetings of the classroom teacher and specialist staff, including the Chapter 1 teacher, individual student needs were discussed, including alternative teaching strategies. In subsequent meetings, student progress was reviewed, and additional strategies were presented. This approach should be more widely publicized and emulated where appropriate.

STATE AND LOCAL RELATIONS

After visiting nine state education agencies and some of the districts they serve, we must express concern about the capacity of SEA Chapter 1 offices to exercise programmatic leadership. Despite the obvious dedication and competence of the coordinators and staff members, there are serious limits on what they can do: staff sizes are small, and state responsibilities include major time commitments to routine application review and monitoring. Further, many of the staff members are much more comfortable with regulatory and fiscal matters than with curriculum and instruction. As the states are called on to work with successive cohorts of schools whose initial plans for program improvement have not led to improved achievement, the limits on SEA capacity will pose increasing problems.

District Survey of Chapter 1 Implementation

(Mailing Label)

This survey is part of a study sponsored by the U.S. Department of Education. We appreciate your cooperation. This is the only study of Chapter 1 that will provide national estimates of district practices under the Hawkins-Stafford Amendments of 1988.

Please take time now to answer all the quesitons and return the questionnaire in the enclosed envelope to:

Abt Associates, Inc.
Survey of Chapter 1 Implementation
55 Wheeler Street
Cambridge, MA 02138

Please return the completed survey by October 31, 1990.

All information that would permit identification of the individual respondent will be held in strict confidence, will be used only by persons engaged in and for the purposes of the survey, and will not be disclosed or released to others for any purpose except as required by law. This survey is authorized by law (P.L. 100-297, Section 1452).

OMB #:1875-0045
expires 9/30/91

Identification

ID Number:	☐☐☐☐☐	1-5/
Batch #:		6-7/
Card #:		8-9/01

DIRECTIONS

This survey is being conducted for the Office of Planning, Budgeting and Evaluation in the U.S. Department of Education. This information will be used to inform federal policymakers and program managers about Chapter 1 program operations since the passage of the Hawkins-Stafford Amendments of 1988. Study results will be used to inform the reauthorization of the Chapter 1 program.

The focus of this survey is the Chapter 1 Basic Program. It does not include either the Chapter 1 Migrant Education Program or the Chapter 1 Program for Neglected or Delinquent Students in state institutions.

If this district does not receive Chapter 1 funds, please check here /___/ and return the questionnaire without completing it.

We anticipate that the Chapter 1 coordinator is the most appropriate person to complete this survey. If you are not in the best position to answer questions about Chapter 1, please forward this questionnaire to the most appropriate person in your district.

You will probably find it helpful to have your district's Chapter 1 applications for 1990-91, 1989-90, and (if convenient) 1985-86 on hand while filling out this survey.

Public reporting burden for this collection of information is estimated to average 75 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, DC 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project, 1875-NEW, Washington, DC 20503.

Please feel free to call Marc Moss, Survey Director, at 617-492-7100, if you have any questions.

Thank you for your time and cooperation.

|Cards 01 + 02|

GENERAL INFORMATION

1. As of the fall of 1990, how long have you been a director of Chapter 1 or Title I programs in this district? WRITE IN THE NUMBER OF YEARS.

Years: ____ 10-11/

2. In school year 1990-91, what percent of your time will be spent administering Chapter 1? MARK ONLY ONE.

a. 1-10%..... ☐ -1 12/
b. 11-25%..... ☐ -2
c. 26-50%..... ☐ -3
d. 51-75%..... ☐ -4
e. 76-100%.... ☐ -5

3. For the school year 1990-91, how many non-teaching staff in this district are being paid by Chapter 1 for the functions listed below? How many non-teaching staff are performing Chapter 1 functions but not paid by Chapter 1 funds? Express full-time equivalents (FTEs) to the nearest tenth of a person.

Function	Number of Non-teaching Staff Supported by Chapter 1	Full-Time Equivalent (FTEs) Supported by Chapter 1	Full-time Equivalent (FTEs) Doing Ch. 1 Functions but not supported with Ch. 1 funds
Chapter 1 Coordinator..............	____ 13-15/19-21/	____.47-50/	____.__ 23-26/
Parent involvement coordinator(s)..	____ 16-18/	____.51-54/	____.__ 27-30/
Evaluator(s)........................	____ 19-21/	____.55-58/	____.__ 31-34/
Resource/Curriculum specialist(s)..	____ 22-24/	____.59-62/	____.__ 35-38/
Fiscal/accounting specialist(s)....	____ 25-27/	____.63-66/	____.__ 39-42/
Supervisor(s)......................	____ 28-30/	____.67-70/	____.__ 43-46/
Counselor(s).......................	____ 31-33/	____.71-74/	____.__ 47-50/
Non-instructional aide(s)..........	____ 34-36/	____.75-78/	____.__ 51-54/
		|8-9/02|	
Secretary/clerk....................	____ 37-39/	____.10-13/	____.__ 55-58/
All other(s). Please specify:......	____ 40-42/	____.14-17/	____.__ 59-62/
____________________			
Total..............................	____ 43-46/	____.18-22/	____.__ 63-67/

Cards 02 + 03

4. Taking all of the district's non-teaching Chapter 1 staff into consideration, how do they spend their time across different activitites related to the Chapter 1 basic grants program? Please enter percentages below; note that they should total 100 percent.

a. Preparing local applications..................	________%	68-69/
b. Comparability computations..................	________%	70-71/
c. Recordkeeping..............................	________%	72-73/
d. Evaluation................................	________%	74-75/
e. Parent involvement........................	________%	76-77/
f. Schools in need of improvement...............	________%	78/79/
		8-9/03
g. Program improvement activities not related to schools in need of improvement.............	________%	10-11/
h. Schoolwide projects........................	________%	12-13/
i. Monitoring schools for compliance............	________%	14-15/
j. Providing support to Chapter 1 instructional staff...........................	________%	16-17/
k. Improving coordination between Chapter 1 and the regular school program.................	________%	18-19/
l. Interacting with the State Chapter 1 office..	________%	20-21/
m. Other (PLEASE SPECIFY) ________________ ________________............................	________%	22-23/
Total	100%	

5. For the school year 1990-91, how many instructional staff in this district are paid by Chapter 1 funds? Please express your answer in numbers and in full-time equivalents (FTEs). WRITE IN YOUR ANSWER.

	Number		FTEs	
a. Teachers..................................	________	24-27/	________.__	28-32/
b. Instructional Aides........................	________	33-36/	________.__	37-41/

6. What is the approved Chapter 1 basic grant budget for the current (1990-91) school year? Exclude concentration grant funds (Section 1006).

WRITE IN YOUR ANSWER............$ ____________.00 42-50/

Cards 03 + 04 + 05

7. Of the 1990-91 Chapter 1 budget, estimate how much will be spent for each of the following categories. Salaries include both salaries and benefits. Make sure that the total for these categories is the same as the total you entered for Question 6.

WRITE IN YOUR ANSWERS

a.	Salaries for teachers (classroom, specialists)	$__________.00	51-59/
b.	Salaries for administrators (including district staff)	$__________.00	60-68/
c.	Salaries for other certified personnel (e.g. counselors)	$__________.00	69-77/
			8-9/04
d.	Salaries for instructional aides	$__________.00	10-18/
e.	Salaries for non-certified personnel (e.g., clerical staff)	$__________.00	19-27/
f.	Other salaries	$__________.00	28-36/
g.	Materials, equipment, and supplies	$__________.00	37-45/
h.	All other (e.g., fixed charges, indirect costs)	$__________.00	46-54/
	Total	$__________.00	55-63/

8. For the school year 1990-91, write in the number of public schools in this district and the number in which Chapter 1 services are offered in each category.

Type of Public School	Number of Public Schools in District		Number of Public Schools with Chapter 1 Services
Preschool and/or preschool/ kindergarten schools..........	____ 64-66/		____ 67-69/
Elementary schools............	____ 70-72/		____ 73-75/
Middle or junior high schools.	____ 76-78/	8-9/05	____ 10-12/
High schools..................	____ 13-15/		____ 16-18/
Combined junior and senior high schools..................	____ 19-21/		____ 22-24/
Combined elementary-secondary schools.............	____ 25-27/		____ 28-30/
Other (PLEASE SPECIFY ____________)....	____ 31-33/		____ 34-36/
TOTAL	____ 37-40/		____ 41-44/

9. As of October 1, 1990, how many students in public and private schools were enrolled in Chapter 1 programs? WRITE IN THE TOTAL NUMBER. USE AN UNDUPLICATED COUNT.

Students	Public School Students	Private School
Total:	__________ 45-50/	__________ 51-56/

|Card 05|

PROGRAM DESIGN

10. Mark all kinds of Chapter 1 projects that this district operated during the school year 1990-91. MARK ALL THAT APPLY.

a. Inclass projects (Students receive Chapter 1 instruction in the regular classroom)......................... ________ 57/

b. Limited pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that does not exceed 25% of the total instructional time in that subject matter).................. ________ 58/

c. Extended pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that exceeds 25% of the total instructional time in that subject matter)............ ________ 59/

d. Add-on projects during the regular school year (Students receive Chapter 1 instruction before or after school or on weekends)... ________ 60/

e. Summer add-on projects(Students receive Chapter 1 instruction during a summer session)... ________ 61/

f. Replacement projects (Chapter 1 students receive services that replace all or part of their regular instruction, and Chapter 1 is a self-contained part of this program)................... ________ 62/

g. Schoolwide projects (in attendance areas where at least 75% of the students are from low income families, Chapter 1 funds are used to upgrade the entire educational program)..................... ________ 63/

h. Preschool or Kindergarten (Chapter 1 students receive preschool programs or are provided a full-day Kindergarten (rather than the standard half-day)... ________ 64/

Cards 05 + 06

11. How are aides, instructional assistants and paraprofessionals used in your Chapter 1 program in school year 1990-1991? MARK ALL THAT APPLY.

a. We don't use aides, instructional assistants or paraprofessionals.(GO TO QUESTION 12.)........................... ________ 65/

Instruction

b. They provide instruction on their own, without the presence of a Chapter 1 or regular school teacher... ________ 66/

c. They provide instruction when supervised by a Chapter 1 teacher... ________ 67/

d. They provide instruction when supervised by a regular classroom teacher.................................... ________ 68/

Non-instruction

e. They conduct home visits or other activities in parent involvement.. ________ 69/

f. They perform CAI program maintenance or other computer-related tasks.................................. ________ 70/

g. Other. (PLEASE SPECIFY________________________________ ____________________________)................................ ________ 71/

12. For the school year 1990-91, please indicate which grades are included and which Chapter 1 subject areas are offered. MARK ALL THAT APPLY.

	Reading	Language Arts	Mathematics	Other	
Grade Levels					
Early Childhood or Pre-K ____					72/
Elementary Grades	______73/	______74/	______75/	_____ 76/	
Middle/Junior High School Grades	______77/	______78/	______79/	_____ 80/	8-9/06
Senior High School Grades	______10/	______11/	______12/	_____ 13/	

Cards 06 + 07

13. For school year 1990-91 record the program settings, instructional times, and class sizes for your Chapter 1 supplementary reading/language arts program in elementary grades in public schools. Give your best estimates of the minimum, average, and maximum values for instructional times and class sizes to provide a picture of what is typical in your district.

For each setting you use, write in the minutes of instruction per week for a participating group of children and number of children per Chapter 1 instructor (teacher, aide, paraprofessional, etc.) for each instructional period.

No supplementary instruction in Chapter 1 reading/language arts in elementary grades _____________. IF NONE PROVIDED, GO TO QUESTION 14. 14/

	Minutes per week			Number of children per Chapter 1 instructor for each instructional period		
Program Settings	Minimum	Average	Maximum	Minimum	Average	Maximum
(a) Inclass project	_____15-18/	_____19-22/	_____23-26/	_____27-28/	_____29-30/	_____31-32/
(b) Limited pullout project	_____33-36/	_____37-40/	_____41-44/	_____45-46/	_____47-48/	_____49-50/
(c) Extended pullout project	_____51-54/	_____55-58/	_____59-62/	_____63-64/	_____65-66/	_____67-68/
(d) Add-on project during the regular school year	_____69-72/	_____73-76/	_____77-80/	8-9/07 _____10-11/	_____12-13/	_____14-15/
(e) Add-on project during the summer	_____16-19/	_____20-23/	_____24-27/	_____28-29/	_____30-31/	_____32-33/
(f) Other. Please Specify: ___________ ___________	_____34-37/	_____38-41/	_____42-45/	_____46-47/	_____48-49/	_____50-51/

Cards 07 + 08 + 09

14. For school year 1990-91 record the program settings, instructional times, and class sizes for your Chapter 1 supplementary math program in the elementary grades in public schools. Give your best estimates of the minimum, average, and maximum values for instructional times and class sizes to provide a picture of what is typical in your district.

For each setting you use, write in the minutes of instruction per week for a participating group of children and number of children per Chapter 1 instructor (teacher, aide, paraprofessional, etc.) for each instructional period.

No supplementary instruction in Chapter 1 math in the elementary grades ______________. IF NONE PROVIDED, GO TO QUESTION 15. 52/

	Minutes per week			Number of children per Chapter 1 instructor for each instructional period		
Program Settings	Minimum	Average	Maximum	Minimum	Average	Maximum
(a) Inclass project	_____ 53-56/	_____ 57-60/	_____ 61-64/	______ 65-66/	______ 67-68/	______ 69-70/
			8-9/08			
(b) Limited pullout project	_____ 71-74/	_____ 75-78/	_____ 10-13/	______ 14-15/	______ 16-17/	______ 18-19/
(c) Extended pullout project	_____ 20-23/	_____ 24-27/	_____ 28-31/	______ 32-33/	______ 34-35/	______ 36-37/
(d) Add-on project during the regular school year	_____ 38-41/	_____ 42-45/	_____ 46-49/	______ 50-51/	______ 52-53/	______ 54-55/
(e) Add-on project during the summer	_____ 56-59/	_____ 60-63/	_____ 64-67/	______ 68-69/	______ 70-71/	______ 72-73/
	8-9/09					
(f) Other. Please Specify: ___________ ___________	_____ 74-77/	_____ 10-13/	_____ 14-17/	______ 18-19/	______ 20-21/	______ 22-23/

Card 09

15. How has the design of the Chapter 1 public school program changed in the past five years? Compare Chapter 1 during the 1985-86 school year with Chapter 1 during the 1990-91 school year.

CIRCLE ONE ANSWER IN EACH ROW BELOW. IF THE ITEM IS NOT APPLICABLE TO YOUR DISTRICT IN BOTH YEARS, CIRCLE "NOT APPLICABLE" (NA).

a. Instructional time per student 24/

More during 1985-86	No Difference	More during 1990-91	Don't Know
1	2	3	8

b. Proportion of instructional staff who are teachers rather than aides 25/

More during 1985-86	No Difference	More during 1990-91	NA- No Aides	Don't Know
1	2	3	4	8

c. Number of instructional areas served 26/

More during 1985-86	No Difference	More during 1990-91	Don't Know
1	2	3	8

d. Number of grade levels served 27/

More during 1985-86	No Difference	More during 1990-91	Don't Know
1	2	3	8

e. Inclass projects 28/

More during 1985-86	No Difference	More during 1990-91	NA-None in the regular classroom	Don't Know
1	2	3	4	8

f. Limited pullout projects 29/

More during 1985-86	No Difference	More during 1990-91	NA-None outside regular classroom	Don't Know
1	2	3	4	8

g. Extended pullout projects 30/

More during 1985-86	No Difference	More during 1990-91	NA-None outside regular classroom	Don't Know
1	2	3	4	8

h. Add-on projects during the regular school year 31/

More during 1985-86	No Difference	More during 1990-91	NA-No add-on projects	Don't Know
1	2	3	4	8

i. Add-on projects during the summer 32/

More during 1985-86	No Difference	More during 1990-91	NA-No add-on projects	Don't Know
1	2	3	4	8

Card 09

PROGRAM IMPROVEMENT

Desired Outcomes

16. Did the school district establish desired outcomes for children participating in the Chapter 1 project? MARK ONLY ONE.

33/

- a. We adopted only the desired outcomes required by the state. (GO TO QUESTION 18.)...................... ☐ -1
- b. We adopted only the desired outcomes suggested by the state. (GO TO QUESTION 18.).................. ☐ -2
- c. We adopted some of the desired outcomes suggested by the state and developed some of our own that we use.. ☐ -3
- d. We adopted only the desired outcomes that we established ourselves............................... ☐ -4

17. With whom, if anyone, did district staff consult as they were developing their desired outcomes? MARK ALL THAT APPLY.

- a. Not applicable; we did not consult with others...... ____ 34/
- b. Administrators from other programs in this district.. ____ 35/
- c. Principals.. ____ 36/
- d. Chapter 1 teachers.................................. ____ 37/
- e. Non-Chapter 1 teachers.............................. ____ 38/
- f. Parents... ____ 39/
- g. Representatives of private school children.......... ____ 40/
- h. Local board of education............................ ____ 41/
- i. Chapter 1 staff in other school districts........... ____ 42/
- j. State Chapter 1 office.............................. ____ 43/
- k. Technical Assistance Center (TAC or R-TAC).......... ____ 44/

Cards 09 + 10

18. How does this district measure the desired outcomes for children participating in the Chapter 1 project, as specified in your district's Chapter 1 application? MARK ALL THAT APPLY.

	Required or suggested by the State			Established by the District		
a. A minimum level of NCE gain greater than zero (Specify number_____) 45-46/........	☐	-1	47/	☐	-2	48/
b. A minimum percentile on a standardized achievement test (Specify percentile_______) 49-50/.....................	☐	-3	51/	☐	-4	52/
c. A minimum percentile gain on a standardized achievement test (Specify percentile gain _______) 53-54/..............................	☐	-1	55/	☐	-2	56/
d. Outcomes on a state criterion-referenced test..	☐	-3	57/	☐	-4	58/
e. Dropout rates..................................	☐	-1	59/	☐	-2	60/
f. Attendance.....................................	☐	-3	61/	☐	-4	62/
g. Retention in grade.............................	☐	-1	63/	☐	-2	64/
h. Percent of students exiting from program.......	☐	-3	65/	☐	-4	66/
i. School grades..................................	☐	-1	67/	☐	-2	68/
j. Credits earned or graduation rates.............	☐	-3	69/	☐	-4	70/
k. Sustained effects as shown by achievement test scores..	☐	-1	71/	☐	-2	72/
l. Writing samples................................	☐	-3	73/	☐	-4	74/
m. Checklists filled out by teachers..............	☐	-1	75/	☐	-2	76/
n. Other indices of student behavior (Specify ______________________________).....	☐	-3	77/	☐	-4	78/

Schools in Need of Improvement

19. Who does the initial analysis to identify schols in need of improvement? MARK ONLY ONE.

a. the school district............................	☐	-1	
b. the state department...........................	☐	-2	79/

Who makes the final decision on whether local conditions should lead to exemptions or waivers for some of these schools? MARK ALL THAT APPLY.

a. the school district............................. ______ 80/

8-9/10

b. the state department........................... ______ 10/

Card 10

20. On the basis of data from the 1988-89 and the 1989-90 school years, please indicate how many schools have been identified in need of improvement. (You or the SEA would have identified these schools sometime after the school year in which the data were collected.) WRITE IN THE NUMBER(S). MARK ALL THAT APPLY.

	On the basis of data from 1988-89		1989-90	
Number of Schools Identified for the First Time	______	11-12/	______	16-17/
Number of Schools Continuing to Need Improvement	XXXXXX ______		______	18-19/
Number of Schools Exempted because of Local Conditions	______	13-14/	______	20-21/
MARK ALL THAT APPLY.				
No schools were identified as in Need of Improvement	______	15/	______	22/

IF NO SCHOOLS HAVE BEEN IDENTIFIED IN EITHER YEAR, PLEASE GO TO QUESTION 27.

21. In your judgment, has the prescribed assessment process accurately identified schools whose Chapter 1 programs really need improvement? MARK ONLY ONE.

The accuracy of the process is...

a. good.. ☐ -1 23/

b. fair.. ☐ -2

c. poor.. ☐ -3

Card 10

22. Of the schools identified as needing improvement, please indicate the current status of each school in implementing the improvement plans. WRITE IN THE NUMBER OF SCHOOLS.

	On the basis of data from			
	1988-89		1989-90	
	Number of Schools		Number of Schools	
a. Not yet implementing LEA plan...	_____	24-25/	_____	38-39/
b. Partially implementing LEA plan............................	_____	26-27/	_____	40-41/
c. Fully implementing LEA plan.....	_____	28-29/	_____	42-43/
d. Completed LEA plan and no longer need improvement.........	_____	30-31/	_____	44-45/
e. Completed LEA plan and partially implementing joint SEA/LEA plan...............	_____	32-33/	_____	46-47/
f. Completed LEA plan and fully implementing joint SEA/LEA plan..............	_____	34-35/	_____	48-49/
Total:	_____	36-37/	_____	50-51/

23. As you made your plans for improving the schools identified as in need of improvement, did you use a school assessment instrument provided by your SEA Chapter 1 office? MARK ONLY ONE.

52/

a. Yes... ☐ -1

b. No; the SEA did not send us such an instrument... ☐ -2

c. No; the SEA did send an instrument, but we chose not to use it.................................. ☐ -3

24. Did you provide extra funds from the Chapter 1 basic grant to schools in need of improvement? MARK ONE FOR EACH YEAR.

	Yes	No	
1989-90	☐ -1	☐ -2	53/
1990-91	☐ -1	☐ -2	54/

Cards 10 + 11

25. If your SEA has provided you with any Chapter 1 state program improvement funds, please indicate the total amount allocated to your district. WRITE "0" IF NO FUNDS WERE ALLOCATED.

	1989-90		1990-91	
a. Grants for improvement costs	$ __________ .00	55-61/	$ __________ .00	62-68/

26. In the 1989-90 school year and the 1990-91 school year, what types of providers have assisted or will assist Chapter 1 schools in need of improvement? MARK ALL THAT APPLY.

	1989-90		1990-91	
a. Institutions of higher education....	_____	69/	_____	79/
b. Chapter 1 TAC/R-TAC.................	_____	70/	_____	80/
			8-9/11	
c. Federally supported educational laboratory or center................	_____	71/	_____	10/
d. SEA Chapter 1 office................	_____	72/	_____	11/
e. Another office in the SEA...........	_____	73/	_____	12/
f. Independent consultants.............	_____	74/	_____	13/
g. District Chapter 1 staff............	_____	75/	_____	14/
h. Other district staff................	_____	76/	_____	15/
i. Other providers.....................	_____	77/	_____	16/
j. Not applicable; we have no assistance providers................	_____	78/	_____	17/

Card 11

ASSESSMENT OF AGGREGATE ACHEIVEMENT

27. Which testing cycle did you use and are you currently using to evaluate your Chapter 1 program? MARK ALL THAT APPLY.

	1989-90		1990-91	
a. Fall-spring..................	____	18/	XXXXX	
b. Spring-spring................	____	19/	____	21/
c. Fall-fall....................	____	20/	____	22/

28. How are the standardized achievement tests that you use to evaluate the effectiveness of your Chapter 1 program related to the districtwide testing program? MARK ONLY ONE.

a. All test results that are used for Chapter 1 evaluation come from districtwide testing....... ☐ -1 23/
b. Some testing is districtwide and some is for Chapter 1 students only......................... ☐ -2
c. All testing is for Chapter 1 students only.... ☐ -3

29. What measures do you use to assess advanced skills in reading/language arts for Chapter 1 students? MARK ALL THAT APPLY.

a. We do not offer Chapter 1 reading/language arts (GO TO QUESTION 31.)............................ ____ 24/
b. Reading comprehension test...................... ____ 25/
c. Reading comprehension subtest................... ____ 26/
d. Criterion-referenced test....................... ____ 27/
e. Teacher-made test............................... ____ 28/
f. Other locally designed measure(s)............... ____ 29/
g. End-of-chapter or textbook test................. ____ 30/
h. Other measures (PLEASE SPECIFY: ____________ ________________________________)............ ____ 31/

30. To measure advanced skills in reading/language arts for Chapter 1 students, did you need to administer additional measures? MARK ONLY ONE.

a. The measures were already in place........ ☐ -1 32/
b. New measures were administered............ ☐ -2

Card 11

31. What measures do you use to assess advanced skills in mathematics for Chapter 1 students? MARK ALL THAT APPLY.

a. We do not offer Chapter 1 math (GO TO QUESTION 33.)................................ ____ 33/
b. A problem solving or applications test.......... ____ 34/
c. A problem solving or applications subtest....... ____ 35/
d. Criterion-referenced test....................... ____ 36/
e. Teacher-made test............................... ____ 37/
f. Other locally designed measure(s)............... ____ 38/
g. End-of-chapter or textbook test................. ____ 39/
h. Other measures (PLEASE SPECIFY: ____________ ______________________________)............ ____ 40/

32. To measure advanced skills in mathematics for Chapter 1 students, did you need to administer additional measures? MARK ONLY ONE.

a. The measures were already in place.............. ☐ -1 41/

b. New measures were administered.................. ☐ -2

33. For your most recent assessment of sustained effects of your Chapter 1 program, how did you gather information about sustained effects? MARK ALL THAT APPLY.

a. Used the same testing information that is collected as part of the annual program evaluation activities.. ____ 42/
b. Used different testing information than is collected as part of the annual program evaluation activities.. ____ 43/
c. Used non-testing information (e.g., records of regular classroom performance, dropout or graduation rates)................................... ____ 44/
d. Other (PLEASE SPECIFY________________ ______________________________).................... ____ 45/

34. In 1989-90, how many studentS, were served in each of the following Chapter 1 programs in grades 2-12? WRITE IN THE NUMBER OF STUDENTS. PROVIDE A DUPLICATED COUNT.

	Reading		Language Arts		Mathematics	
Grades 2-12:	____________	46-51/	____________	52-57/	____________	58-63/

Cards 11 + 12

35. In 1989-90, for how many Chapter 1 students did the district have test information from the pre-test? WRITE IN THE NUMBER OF STUDENTS.

8-9/12

	Reading		Language Arts		Mathematics	
Grades 2-12:	____________	64-69/	____________	70-75/	____________	10-15/

36. For 1989-90, for how many Chapter 1 students did the district have test score information for both pre-test and post-test (that is, matched test scores)? WRITE IN THE NUMBER OF STUDENTS.

	Reading		Language Arts		Mathematics	
Grades 2-12:	____________	16-21/	____________	22-27/	____________	28-33/

37. For how many Chapter 1 students does the district have matched test score information for the last two consecutive years (that is, for three data points)? WRITE IN THE NUMBER OF STUDENTS.

	Reading		Language Arts		Mathematics	
Grades 2-12:	____________	34-39/	____________	40-45/	____________	46-51/

38. What methods does the district use to maximize the number of students tested for both the pre-test and post-test? MARK ALL THAT APPLY.

a. Give make-up tests.............................. ____ 52/
b. Additional review of student record folders.. ____ 53/
c. Track students who transfer among the district's schools.............................. ____ 54/
d. Use computer database software to facilitate manual recordkeeping practices.. ____ 55/
e. Encourage teachers to contact students no longer in the program to urge them to take the test................................ ____ 56/
f. Other measures (PLEASE SPECIFY______________ ____________________)............................ ____ 57/
g. Not applicable; tests not used.................. ____ 58/

39. What methods are used to assess Chapter 1 student performance in the regular school program? MARK ALL THAT APPLY.

a. Same achievement tests as for the Chapter 1 program.. ____ 59/
b. Additional tests to those used for the Chapter 1 program................................ ____ 60/
c. Test results from district or state administered testing programs............. ____ 61/
d. End-of-chapter or textbook tests................
e. Criterion-referenced skills tests or checklists...................................... ____ 62/
f. Anecdotal information from classroom teachers... ____ 63/
g. Other measures (PLEASE SPECIFY____ ________________________)..................... ____ 64/

40. Approximately how many Chapter 1 students have been identified as not showing achievement gains over two consecutive years in the program?

	In schools in need of improvement		In other schools	
The number of identified students is (WRITE IN THE NUMBER)..................	________	65-70/	________	71-76/
MARK ALL THAT APPLY. The district has not yet identified such individuals......................	________	77/	________	78/

41. Has this district established procedures for assessing the educational needs of individual Chapter 1 students who have remained in the program after two consecutive years and have not shown achievement gains? MARK ONLY ONE.

a. The district has completed procedures........... ☐ -1 79/

b. The district is currently developing procedures. ☐ -2

c. The district has not begun to develop procedures ☐ -3

Card 13 dup 1-7
8-9/13

PARENT INVOLVEMENT

42. We are interested in parent involvement activities before and after the Hawkins-Stafford Amendments went into effect. During the school years 1987-88 and 1990-91, did your district have or does it plan to have each of the following activities related to Chapter 1 parent involvement? MARK ALL THAT APPLY.

	1987-88	1990-91
a. Parent resource center..........	____ 10/	____ 11/
b. Utilization of designated liaison staff to work with parents, training teachers, or coordinate parent involvement activities..........	____ 12/	____ 13/
c. Use of parents as classroom volunteers, tutors or aides.....	____ 14/	____ 15/
d. Dissemination of home-based education activities to reinforce classroom instruction.	____ 16/	____ 17/
e. Parent advisory council.........	____ 18/	____ 19/
f. Special activities or strategies for parents who lack literacy skills or whose native language is not English.................	____ 20/	____ 21/
g. Linkage with other programs providing adult literacy skills..........................	____ 22/	____ 23/
h. Other (PLEASE SPECIFY ________ ________________..............	____ 24/	____ 25/

43. Which of the following parent involvement objectives is this district pursuing this year? Which is the district's major focus?

	AN OBJECTIVE (Mark all that apply.)	THE MAJOR FOCUS (Mark only one.)	
a. Communicating the key features of the Chapter 1 program to all parents, for example through an annual meeting.............	____ 26/	☐ -1	27/
b. Communicating with individual parents about their own children's progress in Chapter 1.................	____ 28/	☐ -2	
c. Training parents in ways of helping their children at home.......	____ 29/	☐ -3	
d. Having parents advise the Chapter 1 program....................	____ 30/	☐ -4	
e. Other (PLEASE SPECIFY ____________ ______________________)..........	____ 31/	☐ -5	

44. In order to assess the effectiveness of activities for Chapter 1 parent involvement, which of the following, if any, does this district measure? MARK ALL THAT APPLY.

a. Parents' attendance at Chapter 1 meetings, conferences, workshops, etc.....................	_____	32/
b. Parents' ratings of activities in which they participate................................	_____	33/
c. Parents' use of materials at home..............	_____	34/
d. Parents' attendance at school events other than Chapter 1 events............................	_____	35/
e. Other. (PLEASE SPECIFY ____________________ ________________________________)............	_____	36/

Card 13

SCHOOLWIDE PROJECTS

45. Does this district have any schools with at least 75 percent of the students living in the attendance area or enrolled in the school who are from low-income families? MARK ONLY ONE.

37/

a. Yes.(CONTINUE).................................. ☐ -1

b. No. (GO TO QUESTION 55.)....................... ☐ -2

46. Has your SEA Chapter 1 office ever encouraged the district to consider conducting a Chapter 1 schoolwide project for the entire educational program in such a school? MARK ONLY ONE.

38/

a. Yes.. ☐ -1

b. No... ☐ -2

47. Has this district ever considered conducting a Chapter 1 schoolwide project? MARK ONE ANSWER.

39/

a. Yes.(CONTINUE).................................. ☐ -1

b. No. (GO TO QUESTION 55.)....................... ☐ -2

48. In this district, what are the advantages, if any, of Chapter 1 schoolwide projects? MARK ALL THAT APPLY.

a. District policymakers see no advantages to schoolwide projects.............................. ____ 40/

b. District policymakers like extending existing Chapter 1 services to higher-achieving students. ____ 41/

c. District policymakers like using Chapter 1 resources to change the school's overall educational program.............................. ____ 42/

d. Our students demonstrate good performance in a schoolwide project.............................. ____ 43/

e. Under previous requirements, district policy makers liked the idea of giving the school local matching funds...................... ____ 44/

f. Other. (PLEASE SPECIFY____________________ ____________________________).............. ____ 45/

Card 13

49. In this district, what are the disadvantages, if any, of Chapter 1 schoolwide projects? MARK ALL THAT APPLY.

a. District policymakers see no disadvantages to schoolwide projects.......................... ____ 46/
b. District policymakers prefer to concentrate resources on a smaller number of students, not the whole school............................ ____ 47/
c. District policymakers do not like the special accountability requirements for achievement in schoolwide projects.......................... ____ 48/
d. We have had disappointing student performance in a schoolwide project......................... ____ 49/
e. Under previous requirements, district policy makers did not like the idea of giving the school local matching funds..................... ____ 50/
f. Other. (PLEASE SPECIFY______________________ ______________________________)................ ____ 51/

50. Has this district ever had any schoolwide projects? MARK ONLY ONE. 52/

a. Yes.(CONTINUE)................................. ☐ -1

b. No. (GO TO QUESTION 55.)....................... ☐ -2

51. How many Chapter 1 schoolwide projects are operating in 1990-91 in each of the following types of schools? WRITE IN THE NUMBER ON EACH LINE. WRITE "0" WHERE NO SCHOOLWIDE PROJECTS ARE OPERATING.

	NUMBER	
a. Elementary schools..............................	______	53-54/
b. Middle or junior high schools...................	______	55-56/
c. High schools....................................	______	57-58/
d. Combined junior and senior high schools.........	______	59-60/
e. Combined elementary/secondary schools...........	______	61-62/
TOTAL	______	63-65/

IF THE TOTAL IS "0", GO TO QUESTION 55.

Cards 13 + 14

52. Which of the following services were introduced or significantly strengthened in any school in this district when it began a Chapter 1 schoolwide project? MARK ALL THAT APPLY.

a.	An extended school day..........................	____	66/
b.	Regrouping of students for reading or math......	____	67/
c.	Heterogeneous student groups....................	____	68/
d.	Parent education programs.......................	____	69/
e.	Student support services such as guidance.......	____	70/
f.	Visits to students' homes by school personnel...	____	71/
g.	Emphasis on "accelerated learning" or higher order skills....................................	____	72/
h.	Reduced class size..............................	____	73/
i.	Pre-kindergarten programs or a full-day kindergarten......................................	____	74/
j.	Other. (PLEASE SPECIFY__________________ ____________________________)...............	____	75/

53. Which of the following school characteristics do any of your schoolwide projects emphasize through such activities as needs assessment, staff development, changes in classroom instruction, or changes in school management?

		MARK ALL THAT APPLY		MARK THE TOP THREE (1, 2, & 3)	
a.	Providing strong instructional leadership.......	____	76/	____	14/
b.	Raising staff expectations for student achievement......................................	____	77/	____	15/
c.	Attaining a broadly understood instructional focus...	____	78/	____	16/
d.	Monitoring student achievement to evaluate program success.................................	____	79/	____	17/
e.	Emphasizing basic skills acquisition............	____	80/	____	18/
		8-9/14			
f.	Promoting staff collaboration and congeniality	____	10/	____	19/
g.	Improving academic learning time................	____	11/	____	20/
h.	Improving parental support......................	____	12/	____	21/
i.	Attaining a safe and orderly school climate.....	____	13/	____	22/

54. Which of the following, if any, have provided help with your schoolwide project(s)? MARK ALL THAT APPLY.

a.	We received no outside assistance with our schoolwide project.(GO TO QUESTION 55)..........	____	23/
b.	Institution of higher education.................	____	24/
c.	Chapter 1 TAC/R-TAC.............................	____	25/
d.	Federally supported educational laboratory or center......................................	____	26/
e.	SEA Chapter 1 office............................	____	27/
f.	Another office in the SEA.......................	____	28/
g.	Independent consultant..........................	____	29/
h.	Chapter 1 coordinator in another district.......	____	30/
i.	Other. (PLEASE SPECIFY__________________ ____________________________)...............	____	31/

Card 14

STATE/DISTRICT RELATIONS

55. Which of the following types of interactions have you or your Chapter 1 staff members had with your SEA Chapter 1 office over the past 12 months? MARK ALL THAT APPLY.

a.	Received a question from the SEA about a minor matter (e.g., an arithmetic error on our application)..................................	____	32/
b.	Received a question from the SEA about a more significant matter on our application...........	____	33/
c	Had a monitoring visit from the SEA.............	____	34/
d.	Attended a workshop on application preparation..	____	35/
e.	Attended an SEA workshop that dealt primarily with administrative matters (other than application preparation)........................	____	36/
f.	Attended an SEA workshop that dealt with the program improvement and accountability provisions under Hawkins-Stafford Amendments....	____	37/
g.	Attended an SEA workshop that dealt primarily with educational services.......................	____	38/
h.	Asked the SEA a question about our application..	____	39/
i.	Asked the SEA a question about program mechanics......................................	____	40/
j.	Asked the SEA a question about educational services...	____	41/
k.	Served on the state's Committee of Practitioners.	____	42/
l.	Served as a monitor for other local Chapter 1 programs..	____	43/

56. Over the past 12 months, approximately how many times have you or other local Chapter 1 staff members had any contact, either in person or by telephone, with your SEA Chapter 1 office? WRITE IN A NUMBER.

NUMBER

______ 44-46/

Card 14

57. After you submitted the application or annual update to the SEA for 1990-91, in what areas (if any) did the SEA have significant questions? MARK ALL THAT APPLY.

a.	The SEA had no questions or only minor questions (e.g., correcting arithmetic errors)..	____	47/
b.	School attendance area eligibility and targeting..	____	48/
c.	Student eligibility and selection of those in greatest need..................................	____	49/
d.	Other needs assessment issues..................	____	50/
e.	Parent involvement............................	____	51/
f.	Supplement, not supplant.......................	____	52/
g.	Comparability..................................	____	53/
h.	Maintenance of effort..........................	____	54/
i.	Program design.................................	____	55/
j.	Budget...	____	56/
k.	Coordination with other federal and state education programs..............................	____	57/
l.	Coordination with the regular instructional program..	____	58/
m.	Private school student participation............	____	59/
n.	Size, scope and quality provisions..............	____	60/
o.	Schoolwide projects.............................	____	61/
p.	Innovation projects.............................	____	62/
q.	Identification of schools in need of improvement.....................................	____	63/
r.	Plans to work with schools in need of improvement.....................................	____	64/
s.	Identification of students not making gains.....	____	65/
t.	Evaluation issues not covered above..............	____	66/

Cards 14 + 15

58. If your Chapter 1 program has had a monitoring visit from the SEA in the past 12 months, which of the following areas did the monitors examine? MARK ALL THAT APPLY.

a.	Not applicable; we have not had a monitoring visit in the past 12 months......................	____	67/
b.	School attendance area eligibility and targeting......................................	____	68/
c.	Student eligibility and selection of those in greatest need................................	____	69/
d.	Other needs assessment issues..................	____	70/
e.	Parent involvement.............................	____	71/
f.	Supplement, not supplant.......................	____	72/
g.	Comparability..................................	____	73/
h.	Maintenance of effort..........................	____	74/
i.	Program design.................................	____	75/
j.	Budget...	____	76/
k	Coordination with other federal and state education programs...........................	____	77/
l.	Coordination with the regular instructional program...	____	78/
m.	Private school student participation...........	____	79/
n.	Size, scope and quality provisions.............	____	80/
			8-9/15
o.	Schoolwide projects............................	____	10/
p.	Innovation projects............................	____	11/
q.	Identification of schools in need of improvement....................................	____	12/
r.	Plans to work with schools in need of improvement....................................	____	13/
s.	Identification of students not making gains.....	____	14/
t.	Evaluation issues not covered above.............	____	15/

Card 15

59. Thinking about all your interactions with the SEA Chapter 1 office over the past 12 months, in which of the following areas (if any) has that office helped you in developing or improving your program? MARK ALL THAT APPLY.

a.	None; the office has not helped us..............	____	16/
b.	School attendance area eligibility and targeting..	____	17/
c.	Student eligibility and selection of those in greatest need..................................	____	18/
d.	Other needs assessment issues..................	____	19/
e.	Parent involvement.............................	____	20/
f.	Supplement, not supplant.......................	____	21/
g.	Comparability..................................	____	22/
h.	Maintenance of effort..........................	____	23/
i.	Program design.................................	____	24/
j.	Budget...	____	25/
k.	Coordination with other federal and state education programs............................	____	26/
l.	Coordination with the regular instructional program..	____	27/
m.	Private school student participation............	____	28/
n.	Size, scope and quality provisions..............	____	29/
o.	Schoolwide projects............................	____	30/
p.	Innovation projects............................	____	31/
q.	Identification of schools in need of improvement....................................	____	32/
r.	Plans to work with schools in need of improvement....................................	____	33/
s.	Identification of students not making gains.....	____	34/
t.	Evaluation issues not covered above..............	____	35/

60 In general, how would you characterize the contribution of the SEA Chapter 1 office to your Chapter 1 program over the past 12 months? MARK ONE IN EACH ROW.

	CONTRIBUTION			
	MAJOR	SOME	NONE	
a. The SEA Chapter 1 office has helped our program comply with the law and regulations................	☐ -1	☐ -2	☐ -3	36/
b. The SEA Chapter 1 office has helped the educational quality of our program....................	☐ -1	☐ -2	☐ -3	37/

|Card 15|

61. In general, how would you rate your SEA Chapter 1 office with respect to the following characteristics? MARK ONE IN EACH ROW.

	High	Medium	Low	Don't Know	
a. Clarity of information provided....	☐ -1	☐ -2	☐ -3	☐ -8	38/
b. Forthrightness in answering questions........................	☐ -1	☐ -2	☐ -3	☐ -8	39/
c. Willingness to explore options.....	☐ -1	☐ -2	☐ -3	☐ -8	40/
d. Availability of staff..............	☐ -1	☐ -2	☐ -3	☐ -8	41/

Card 15

OTHER OPERATIONAL ISSUES

Innovation Projects

62. Has this district asked for approval from the SEA to operate an "innovation project," that is, a project that uses not more than five percent of your Chapter 1 grant for one or more activities specified in the law (see Question 64 for a list of these activities) to promote quality in the Chapter 1 program? MARK ONE IN EACH ROW.

	Yes	No	
1989-90	☐ -1	☐ -2	42/
1990-91	☐ -1	☐ -2	43/

IF "NO" IN BOTH ROWS, GO TO QUESTION 65.

63. Has this district operated an innovation project? MARK ONE IN EACH ROW.

	Yes	No	
1989-90	☐ -1	☐ -2	44/
1990-91	☐ -1	☐ -2	45/

IF YOU HAVE NEVER OPERATED AN INNOVATION PROJECT, PLEASE TO GO QUESTION 65.

64. Which of the following components are now part of your innovation project? MARK ALL THAT APPLY.

a. Continuation of services to children who received services in any preceding year............................. ____ 46/

b. Continuation of services to children who are transferred to ineligible areas or schools as part of a desegregation plan... ____ 47/

c. Incentive payments to schools that have demonstrated significant progress or success in Chapter 1.............. ____ 48/

d. Training of Chapter 1 teachers, regular teachers, and librarians in the needs of eligible children and integration of Chapter 1 activities into regular classroom programs... ____ 49/

e. Innovative approaches to parent involvement or rewards to or expansion of exemplary parent involvement programs... ____ 50/

f. Encouraging the involvement of community and private sector resources in serving eligible children............. ____ 51/

g. Assistance by the district to schools identified as in need of program improvement............................ ____ 52/

Card 15

Coordination with the Regular School Program

65. What does this district do to coordinate Chapter 1 with the regular school program?

	MARK ALL THAT APPLY		MARK THE TOP THREE (1, 2, & 3)	
a. Encourage Chapter 1 staff and classroom teachers to discuss instruction or students.....	____	53/	____	60/
b. Require Chapter 1 staff and classroom teachers to discuss instruction or students.....	____	54/	____	61/
c. Arrange for Chapter 1 staff and classroom teachers to have joint planning periods.........	____	55/	____	62/
d. Provide forms for teaching staff to record and exchange information.....................	____	56/	____	63/
e. Hold principals or other building-level administrators responsible for coordination.....	____	57/	____	64/
f. Hold district-level administrators responsible for coordination.............................	____	58/	____	65/
g. Other. (PLEASE SPECIFY____________________ ____________________)....................	____	59/	____	66/

Non-Chapter 1 Duties

66. On what basis do you decide how much time Chapter 1 personnel may spend on non-Chapter 1 duties (e.g., lunchroom supervision)? MARK ALL THAT APPLY.

a. These duties are never assigned to Chapter 1 personnel..	____	67/
b. Chapter 1 personnel may spend the same proportion of their time on these duties as similarly situated non-Chapter 1 personnel at the same school..................................	____	68/
c. Chapter 1 personnel may spend up to one period per day on these duties..........................	____	69/
d. Chapter 1 personnel may spend up to 60 minutes per day on these duties..........................	____	70/
e. Other (PLEASE SPECIFY ____________________ ____________________)..........	____	71/

Concentration Grants

67. Please indicate whether this district received Chapter 1 concentration grants. CIRCLE ONE IN EACH ROW.

	Yes	No	
1989-90	☐ -1	☐ -2	72/
1990-91	☐ -1	☐ -2	73/

74-80/B

8-9/16

IF "NO" IN BOTH ROWS, GO TO QUESTION 69.

Card 16

68. What was the amount of funds that the district received under the Chapter 1 concentration grant? If no funds were received one year, write "0" in the space.

1989-90	$ ________.00	10-17/
1990-91	$ ________.00	18-25/

Private Schools

69. Which of the following best describes the participation of private school students in the Chapter 1 program? MARK ALL THAT APPLY.

a. None are participating because no low achieving children living in Chapter 1 attendance areas attend private schools.. ______ 26/
b. Some or all private schools have chosen not to have their students participate in any federal program.................. ______ 27/
c. Some or all private school officials and/or Chapter 1 parents have declined participation given the program design options available (such as, they do not want students to leave the private school building)................................... ______ 28/
d. Among private schools whose students participate, the proportion of eligible private schools students served is roughly the same as the proportion served among eligible public school students.. ______ 29/
e. The district has been bypassed............................... ______ 30/
f. Other. (PLEASE SPECIFY ____________________ ____)..................... ______ 31/

IF THE CHAPTER 1 PROGRAM SERVES NO CHILDREN ATTENDING PRIVATE SCHOOLS, GO TO QUESTION 75.

70. What percent of private school students being served in your Chapter 1 program receive services through each of the following methods? WRITE IN THE PERCENT SERVED BY EACH METHOD.

	PERCENT	
a. Public school..............................	________%	32-34/
b. Neutral site...............................	________%	35-37/
c. Mobile van.................................	________%	38-40/
d. Closed-circuit television..................	________%	41-43/
e. Computer system............................	________%	44-46/
f. Other. (PLEASE SPECIFY ________________ ____________________________.).............	________%	47-49/
TOTAL	100 %	

71. For any year, did this district apply to the SEA's Chapter 1 capital expenses funds for payment to cover capital expenses for the participation of private school children in Chapter 1? MARK ONLY ONE.

50/

Yes (CONTINUE)..................☐ -1

NO (GO TO QUESTION 75)..........☐ -2

Cards 16 + 17

72. For any year, has this district received payment from the SEA's Chapter 1 capital expenses funds to cover capital expenses? MARK ONLY ONE.

		51/
Yes (CONTINUE)..................	☐ -1	
NO (GO TO QUESTION 75)..........	☐ -2	

73. Across the years for which payment was received from the state, indicate the amount of Chapter 1 capital expenses funds and the purposes for which funds were expended. WRITE IN THE AMOUNT.

	Amount of Capital Expenses Funds	
a. Purchase of real and personal property (including mobile units)......	$________ .00	52-59/
b. Lease of real and personal property (including mobile units)......	$________ .00	60-67/
c. Renovation of real and personal property (including mobile units)......	$________ .00	68-75/
		76-80/B
		8-9/17
d. Insurance..............................	$________ .00	10-17/
e Maintenance............................	$________ .00	18-25/
f. Transportation.........................	$________ .00	26-33/
g. Other comparable goods and expenses....	$________ .00	34-41/
TOTAL:	$________ .00	42-49/

74. What has been the effect on this district of receiving payment for capital expenses? MARK ALL THAT APPLY.

a. More money is available for Chapter 1 services for public school students.............	____	50/
b. More money is available for Chapter 1 services for private school students............	____	51/
c. More private school students are participating in Chapter 1....................................	____	52/
d. It has had no effect in this district...........	____	53/
e. Other. (PLEASE SPECIFY________________ ________________________________).............	____	54/

Cards 17 + 18

Necessity and Burden of Requirements

75. Listed below are 11 categories of requirements in the Chapter 1 law and regulations. Based on your experience, which of these requirements are the most necessary for attaining the objectives of the program? The least necessary? According to your best estimates, which of these requirements are the most burdensome or require the most paperwork?

	NECESSITY Rank from 1 to 11, with "1" as most necessary, "2" next most necessary, etc.		BURDEN Rank from 1 to 11, with "1" as most burdensome, "2" next most burdensome, etc.		
Ranking and selecting project areas..............	____	55-56/	____	77-78/	
Ranking and selecting students...................	____	57-58/	____	79-80/	8-9/18
Parent involvement...............................	____	59-60/	____	10-11/	
Needs assessment procedures......................	____	61-62/	____	12-13/	
Evaluation procedures............................	____	63-64/	____	14-15/	
New provisions for program improvement...........	____	65-66/	____	16-17/	
Supplement-not-supplant provisions...............	____	67-68/	____	18-19/	
Maintenance of effort provisions.................	____	69-70/	____	20-21/	
Comparability procedures.........................	____	71-72/	____	22-23/	
Private school student participation.............	____	73-74/	____	24-25/	
Adequate size, scope and quality provisions......	____	75-76/	____	26-27/	

If you have comments on the Chapter 1 program under the Hawkins-Stafford Amendments, please provide them below.

28-29/
30-31/

THANK YOU FOR PARTICIPATING IN THE SURVEY. PLEASE RETURN THIS FORM IN THE ENCLOSED SELF-ADDRESSED, STAMPED ENVELOPE.

Abt Associates, Inc.
Chapter 1 Implementation Study
55 Wheeler Street
Cambridge, MA 02138

APPENDIX B

Study Methodology

STUDY METHODOLOGY

District Survey

The potential respondent universe for the 1990 district survey of Chapter 1 implementation consisted of approximately 15,600 public school districts in the United States. Only districts that receive Chapter 1 funds were eligible for the survey. This criterion effectively reduced the size of the eligible universe to about 13,730 school districts. The overall sample size, actual response rate, and the actual number of completed questionnaires with eligible school districts are shown below:

Initial Sample Size[1]	Actual Response Rate	Actual Number of Completed Questionnaires
1,600 school districts	87.8%	1,400

Stratification and Sampling Plans

The key objectives of this study were to provide reliable estimates for:

1) all eligible school districts in the U.S.;
2) districts falling into different enrollment size categories; and
3) districts at the higher end of the poverty scale.

In addition, the 1990 study was compared with the 1986 national survey of school districts receiving ECIA Chapter 1 funds. The design therefore allowed for such comparisons to be made.

The design of the sample began with the construction of a sampling frame of all operating public school districts in the U.S. using the 1990 version of the Quality Education Data (QED) school district file. The sampling frame of school districts was sorted into twenty-four strata based on the following eight enrollment size categories and three classes formed from the Orshansky measure of poverty.[2]

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[1] Five of the 1,600 sample districts did not receive any Chapter 1 funds.

[2] Percentage of schoolage children within the district who have a family income below the poverty level.

Enrollment Size Category

- 25,000 and over
- 10,000 - 24,999
- 5,000 - 9,999
- 2,500 - 4,999
- 1,000 - 2,499
- 600 - 999
- 300 - 599
- 1 - 299

Orshansky Measure of Poverty Category

- 25.0% and over
- 12.0 - 24.9%
- 0.0 - 11.9%

The enrollment and poverty categories were identical to those used in the 1986 National Institute of Education (NIE) survey of district Chapter 1 Coordinators in order to facilitate comparisons between the two surveys.

An initial sample of 1,600 districts was selected. The sample allocation is illustrated below. Because the two largest district size categories account for a significant percentage of total student enrollment, all districts in these two size categories were sampled with certainty. This accounted for a total of 664 districts, leaving another 936 still to be sampled. For the remaining six size categories, the allocation procedure used in the 1986 NIE District Survey was employed[3]. This involved computing mean school district enrollment for each of the six size categories and allocating the sample of 936 districts proportional to the square root of mean enrollment. This method is preferred to probability-proportional-to-size which would have led to a very small sample of smaller districts. The results of this allocation procedure are shown below:

Enrollment Size Category	Mean Enrollment	Square Root of Mean Enrollment	Sample Allocation
5,000 - 9,999	6902.83	83.08	321
2,500 - 4,999	3483.99	59.03	227
1,000 - 2,499	1598.85	39.99	155
600 - 999	773.08	27.80	108
300 - 599	442.98	21.05	81
1 - 299	121.43	11.02	44

The approximate universe distribution of school districts by the three poverty categories is:

25% and over	14.4%
12 - 24.9%	37.3%
0 - 11.9%	48.3%
	100.0%

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[3] The allocation procedure is described in Appendix D of Birman, B.F., M.E. Orland, R.K. Jung, R.J. Anson, G.N. Garcia, M.T. Moore, J.E. Funkhouser, D.R. Morrison, B.J. Turnbull, and E.R. Reisner. The Current Operation of the Chapter 1 Program: Final Report from the National Assessment of Chapter 1. Washington, D.C.: GPO, 1987.

A simple random sample of school districts from each of the enrollment size categories would have yielded a relatively small number of districts in the 25 percent and over below the poverty level category. Given the analytic importance of this category and also of the 12 - 24.9 percent category, districts in these two poverty categories were oversampled. In the 1986 NIE District Survey, the sample from the i-th enrollment size category was allocated as follows:

1) Orshansky category 0-11.9% was sampled at rate r_i.
2) Orshansky category 12-24% was sampled at rate $1.5r_i$.
3) Orshansky category 25% and over was sampled at rate 2ri.

This approach increased the sample size of districts in the two poverty categories of greatest analytic interest while increasing somewhat the sampling variance of national estimates. The sample sizes for the 1990 survey were estimated as follows:

25% and over	261
12 - 24.9%	799
0 - 11.9%	540
	1,600

Within each poverty category within an enrollment category, the sample districts were selected by systematic random sampling after ordering districts by Census Region and then by metropolitan versus non-metropolitan location within region. Exhibit 1 shows the stratum-by-stratum distribution of the 1,600 sample districts.

Sample Weights

The stratum weights are displayed in Exhibit 2. For the noncertainty strata (3 to 8, 11 to 16, and 19 to 24), the weight for each completed questionnaire in a stratum equals:

$$\frac{N_h}{C_h} \quad \textit{(h references stratum)}$$

where C_h is the number of completed questionnaires, and N_h is the population count of SFAs. Exhibit 3 shows the N_h values.

For the certainty strata (1 to 2, 9 to 10, and 17 to 18), we first computed total enrollment for all districts in these strata. Call these values E_h. Next, we computed total enrollment for all completed questionnaires in these six strata. Call this e_h. The weight for each completed questionnaire in these strata equals E_h/e_h.

Exhibit 1
Stratum-by-Stratum Distribution of 1600 Sample Districts
(stratum number in parentheses)

District Size	Poverty Level Category[1] 1	 2	 3
25,000 and over	29 (1)	95 (9)	55 (17)
10,000 - 24,999	47 (2)	188 (10)	250 (18)
5,000 - 9,999	69 (3)	186 (11)	66 (19)
2,500 - 4,999	51 (4)	113 (12)	63 (20)
1,000 - 2,499	27 (5)	88 (13)	40 (21)
600 - 999	19 (6)	73 (14)	16 (22)
300 - 599	15 (7)	50 (15)	16 (23)
1 - 299	4 (8)	6 (16)	34 (24)

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[1] Poverty levels are as follows: 1 = greater than 25%; 2 = 12.0 - 24.9%; 3 = less than 12.0%.

Exhibit 2

Weights by Stratum

Stratum	Weight
1	1.09
2	1.10
3	1.75
4	5.44
5	15.87
6	9.94
7	27.00
8	205.25
9	1.14
10	1.20
11	1.96
12	6.17
13	15.86
14	11.37
15	23.19
16	642.50
17	1.27
18	1.13
19	8.22
20	20.30
21	55.74
22	66.31
23	63.43
24	73.09

Exhibit 3

Number of School Districts in Each Sampling Stratum, by Enrollment Size and Poverty Category (stratum number in parentheses)

District Size	Poverty Level Category[1]		
	1	2	3
25,000 and over	29 (1)	95 (9)	55 (17)
10,000 - 24,999	47 (2)	188 (10)	250 (18)
5,000 - 9,999	112 (3)	339 (11)	485 (19)
2,500 - 4,999	245 (4)	605 (12)	1,096 (20)
1,000 - 2,499	365 (5)	1,285 (13)	1,951 (21)
600 - 999	179 (6)	762 (14)	862 (22)
300 - 599	351 (7)	997 (15)	888 (23)
1 - 299	821 (8)	1,285 (16)	1,608 (24)

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[1] Poverty levels are as follows: 1 = greater than 25%; 2 = 12.0 - 24.9%; 3 = less than 12.0%.

Justification of the Level of Accuracy

The main objective of the survey was to provide school district estimates by enrollment size categories and by poverty level categories. The actual number of completed questionnaires for the domains of interest are shown below:

Enrollment Size	
• 25,000 and over	148
• 10,000 -24,999	424
• 5,000 - 9,999	296
• 2,500 - 4,999	197
• 1,000 - 2,499	139
• 600 - 999	98
Less than 600	98

Poverty Level Category	
Greater than 25.0%	234
12.0 - 24.9%	703
Less than 12 %	463

For a sample percentage on the order of 50 percent we have estimated the 95 percent confidence limits that can be expected for the above domains of interest. Our calculations incorporate a design effect due to weighting (from the over-sampling) using the formula:

$$\sum_h W_h k_h \left(\sum_h \frac{W_h}{k_h}\right),$$

where for size domains, W_h equals the proportion of school districts in each poverty level category, while for poverty level domains, W_h equals the proportion of school districts in each enrollment size category. The relative weight for each poverty category within an enrollment size category and for each enrollment category within a poverty level category is represented by k_h.

The expected 95 percent confidence limits and expected design effect factors are shown below:

Enrollment Size	Design Effect	95 Percent Confidence Limits for P = 50%
25,000 and over	-	Census
10,000 - 24,999	-	Census
5,000 - 9,999	2.5	50% ± 7.0%
2,500 - 4,999	2.5	50% ± 9.6%
1,000 - 2,499	2.5	50% ± 12.1%
600 - 999	2.6	50% ± 14.7%
Less than 600	2.2	50% ± 17.2%

Poverty Level	Effect	95 Percent Confidence Limits for P = 50%
Greater than 25%	1.4	50% ± 7.8%
12 - 24.9%	1.2	50% ± 3.7%
Less than 12%	1.6	50% ± 5.2%

These figures are applicable to school district estimates. The standard errors shown in Appendix C take into account the stratification and weighting of the sample.

Procedures to Maximize Response Rates

Several techniques were utilized in order to maximize the response rates for the district survey. First, state Chapter 1 Coordinators were sent a letter from the U.S. Department of Education to explain the study and elicit their cooperation. Explaining the study design to the appropriate state-level administrators represented an important first step in gaining cooperation from local personnel. Once the sample of respondents was chosen, we also sent this list of selected school districts to the state Coordinator, so that he or she was informed of the progress of the study and was able to answer questions that may have come from local staff.

When the surveys were sent out to the 1,600 school districts, the cover letter from each state Coordinator was included, to explain the objectives of the survey and the importance of obtaining the information. The mailing to respondents also included: (1) a letter from Abt Associates about the survey; (2) a pre-addressed, postage-paid envelope in which to return the survey; and (3) information about the senior project staff member whom the respondents could call with questions about the survey.

Two weeks after the initial mailing, a reminder postcard was mailed to the entire survey sample. This postcard reminded respondents that a survey had been mailed to them. If they had not received the survey or had misplaced it, the postcard listed a person and telephone number to call at Abt Associates to request another copy. The postcard also served as a gentle reminder to complete the survey and indicated a date for completion.

Approximately one week after the due date for the survey, we initiated telephone reminders for all nonrespondents. This personalized reminder encouraged district Chapter 1 coordinators to respond. In addition, these calls reached potential respondents who had not previously received either the survey or the postcard through the mail. During these telephone conversations, our staff explained the importance of cooperation, responded to any questions or concerns that the respondent may have had about participating in the study, and urged the respondent to complete the survey.

In order to reduce item non-response, we identified a list of key questions that were both of significance to the analysis and likely to be available from each respondent. If these items were missing from a given survey, our staff contacted respondents by telephone to collect the information.

Selection of States for On-site Visits

Nine states were visited to interview Chapter 1 Coordinators and their staff. States were selected to reflect diversity in the following demographic characteristics:

- geographic Census regions (West, South, Midwest and Northeast);
- total enrollment in public elementary and secondary schools;
- chapter 1 allocation (as provided by the U.S. Department of Education); and
- number of districts in the state.

States were also selected to represent diversity in specific features of the Hawkins-Stafford Amendments, namely schools in need of improvement, schoolwide projects, and parent involvement. Information on these items came from the Survey of State Chapter 1 Coordinators, conducted by Policy Studies Associates.

States were ranked by proportion of districts that had schools identified in need of improvement. Additionally, we examined all states that had set performance standards in excess of 0 NCEs. States were also ranked on the basis of the proportion of districts and the number of schools that were operating schoolwide projects in 1989-90.

Finally, we selected states representing a range in parent involvement activities; these were determined on the basis of the limited available data. We looked at survey results from two items on a recent survey of State Chapter 1 coordinators conducted by Policy Studies Associates: the proportion of districts implementing various parent involvement activities and the extent to which SEA staff encourage particular parent involvement activities.

Selection of Districts and Schools

Within each of the nine states, we visited three districts, for a total of 27 districts. In each district, we visited two schools, totaling 54 schools. By nesting the districts within states, we were able to have the state perspective on state/local relations for all districts visited.

In selecting three districts to visit within each state, we first considered the size of districts (that is, public school enrollment). We also took into account the number of Chapter 1 schools in the districts. Furthermore, we selected districts and, from among these, schools, in a purposive manner to reflect Hawkins-Stafford provisions. This approach enabled the site visits to be made to the districts and schools most important to the objectives of the study (even if they occur very rarely), although it did not allow statistical generalizations to be based on the information obtained in the site visits.

Our plan for purposive sampling of districts and schools required that the nine states be selected first and then approved by ED. We then contacted the State Chapter 1 Coordinator in these states to obtain nominations for districts that met the following criteria:

- had schoolwide projects underway;
- had schools in need of improvement; and
- offered innovative parent involvement activities.

In order to visit districts that varied on these criteria, we also wanted to identify districts that did **not** meet these criteria, that is districts:

- eligible for schoolwide projects but that had not undertaken any;
- with no schools in need of improvement; and
- offering limited parent involvement activities.

Across the 27 districts selected, we were able to have diversity within each characteristic, with each characteristic selected independently from the others.

APPENDIX C

Back-up Tables for Select Exhibits

STANDARD ERRORS

Standard errors for select exhibits of data from the district Chapter 1 coordinator survey were computed suing the SUDAAN stand error software package. The sample design is a disproportionate stratified sample of school districts with Chapter 1 programs that was selected without replacement from 24 strata. Standard error calculations therefore incorporated stratum-by-stratum population correction factors. Excluded from standard error calculations were those districts selected with certainty.

Backup to Exhibit 1.2

CHAPTER 1 ENROLLMENTS IN PUBLIC AND PRIVATE SCHOOLS, BY SIZE OF DISTRICT

As of October 1, 1990, how many students in public and private schools were enrolled in Chapter 1 programs?

	Public School Students				Private School Students			
Total District Enrollment[1]	**Number**	**SE**[2]	**Percent**	**SE**	**Number**	**SE**	**Percent**	**SE**
25,000 students and above	1,809,884	---	35%	---	91,767	---	55%	---
10,000 to 24,999 students	760,673	---	15	---	18,689	---	11	---
5,000 to 9,999 students	686,837	±7,765	13	±0.9	16,840	±1,649	10	±1.7
2,500 to 4,999 students	850,061	±64,482	16	±1.5	24,469	±6,161	15	±3.8
1,000 to 2,499 students	623,947	±41,365	12	±1.0	10,094	±1,779	6	±1.3
Fewer than 1,000 students	462,277	±33,250	9	±0.8	5,573	±2,051	3	±1.1
Total	5,193,679	±318,421	100%		167,612	±23,164	100%	

---

[1] Weighted base N for public school students is 13,577, with a nonresponse rate of 9 percent. The weighted base N for private school students is 2,658. The nonresponse rate is 1 percent.

[2] SE represents the standard error for the number and percent of public and private school Chapter 1 students. Districts enrolling 10,000 or more students were selected with certainty, so their data are not subject to sampling error.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 1.6

PROPORTION OF DISTRICTS OFFERING TYPES OF CHAPTER 1 PROJECTS, 1990-91

	Percent of Districts[1]	**SE**[2]
	1990-91	
Limited pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that does not exceed 25% of the total instructional time in that subject matter)	82 %	±4.6 %
In-class projects (Students receive Chapter 1) instruction in regular classroom)	62	±2.2
Extended pullout projects (Students receive Chapter 1 instruction outside of the regular classroom that exceeds 25% of the total instructional time in that subject matter)	24	±4.7
Replacement projects (Chapter 1 students receive services that replace all or part of their regular instruction, and Chapter 1 is a self-contained part of this program)	12	±1.3
Summer add-on projects (Students receive Chapter 1 instruction during a summer session)	11	±1.3
Preschool or Kindergarten (Chapter 1 students receive pre-school programs or are provided a full-day Kindergarten (rather than the standard half-day)	10	±1.6
Add-on projects during the regular school year (Students receive Chapter 1 instruction before or after school or on weekends)	9	±1.3
Schoolwide projects (in attendance areas where at least 75% of the students are from low income families, Chapter 1 funds are used to upgrade the entire educational program)	4	±0.5

---

[1] The totals add to more than 100 percent because districts checked more than one item. The weighted base N for the second column is 14,867, for an item nonresponse of 0 percent. The source is the District Survey of Chapter 1 Implementation, 1990.

[2] SE represents the standard error for the percent of districts. The figure reads: Eighty-two (plus or minus 4.6) percent of districts provide limited pullout projects.

Backup to Exhibit 1.7

DISTRICT REPORTS OF INSTRUCTIONAL TIME AND CLASS SIZE FOR CHAPTER 1 PROGRAMS

For the school year 1990-91, record the program settings, instructional times and class sizes for your Chapter 1 supplementary reading/language arts program and math program in elementary grades in public schools.

Chapter 1 Program Setting	**Minutes of Instruction per Week[3]**		**Number of Children per Chapter 1 Instructor for Each Instructional Period[4]**	
	Mean	**SE[5]**	**Mean**	**SE**
Reading/Language Arts[1]				
In-class	166	±8.8	6.1	±0.6
Limited pullout	154	±6.0	5.0	±0.1
Mathematics[2]				
In-class	148	±6.5	5.7	±0.5
Limited pullout	137	±6.1	4.7	±0.4

---

[1] The weighted base N for reading/language arts in-class model is 6,019 districts. For the limited pullout model, the weighted base N is 8,825 districts. The non-response rates for these items cannot be calculated.

[2] The weighted base N for the mathematics in-class model is 4,913 districts. For the limited pullout model, the weighted base N is 6,033 districts.

[3] Because many districts appeared to have reported minutes of instruction per day rather than per week, we multiplied by five all estimates of fewer than 60 minutes per week. Approximately 10 percent of respondents were in this category.

[4] The category of Chapter 1 instructor includes both teachers and aides.

[5] SE represents the standard error of the mean. The figure reads: The mean number of minutes of instruction per week in In-class settings is 166 (plus or minus 8.8).

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 1.12

MEAN AND MEDIAN NUMBER OF CHAPTER1 TEACHERS IN DISTRICTS EMPLOYING TEACHER, BY DISTRICT ENROLLMENT SIZE

Total District Enrollment	Number of Teachers[1]		Number of FTE Teachers	
	Mean	SE[3]	Mean	SE
All districts	6	±0.2	5	±0.1
25,000 students or more	105	---	88	---
10,000 to 24,999 students	23	---	19	---
5,000 to 9,999 students	13	±0.5	11	±0.3
2,500 to 4,999 students	8	±0.5	6	±0.3
1,000 to 2,499 students	4	±0.3	3	±0.2
Less than 1,000 students	2	±0.1	1	±0.1

---

[1] Weighted base N is 13,000; the nonresponse rate is 4 percent. 1,379 districts do not use teachers.

[3] SE represents the standard error of the mean. Districts enrolling 10,000 or more students were selected with certainty, so their data are not subject to sampling error.

Figure reads: Six (plus or minus 0.2) is the mean number of Chapter 1 teachers in districts that use teachers.

Source: District Survey of Chapter 1 Implementation, 1990.

Note: Across all districts the mean number of FTE teachers in those districts that used teachers in SY 1985-86 was 4.4. (Source: NIE Chapter 1 District Survey, 1985-86).

Backup to Exhibit 1.13

MEAN AND MEDIAN NUMBER OF CHAPTER 1 AIDES AND PARAPROFESSIONALS IN DISTRICTS USING AIDES, BY DISTRICT ENROLLMENT SIZE

Total District Enrollment	Number of Aides[1]		Number of FTE Aides	
	Mean	SE[3]	Mean	SE
All districts	12	±1.5	9	±0.8
25,000 students or more	207	---	142	---
10,000 to 24,999 students	34	---	26	---
5,000 to 9,999 students	18	±1.5	13	±0.9
2,500 to 4,999 students	11	±0.9	8	±0.7
1,000 to 2,499 students	5	±0.6	4	±0.4
Less than 1,000 students	3	±0.3	2	±0.3

---

[1] Weighted base N is 7,761; the nonresponse rate is 5 percent. 6,756 districts do not use aides in the Chapter 1 program.

[3] SE represents the standard error of the mean. Districts enrolling 10,000 or more students were selected with certainty so their data are not subject to sampling error.

This item was asked only on the mail survey.

Source: District Survey of Chapter 1 Implementation, 1990.

Note: Across all districts with aides the mean number FTE aides in SY 1985-86 was 4.3. Forty percent of districts had no aides during that year. (Source: NIE Chapter 1 District Survey, 1985-86).

Backup to Exhibit 1.14

HOW ARE AIDES AND PARAPROFESSIONALS USED IN CHAPTER 1 PROGRAMS FOR INSTRUCTIONAL AND NON-INSTRUCTIONAL PURPOSES?

During the school years 1985-86 and 1990-91, how were aides or paraprofessionals used in your Chapter 1 program?

	Percent of Districts[1]		
	1985-86[2]	1990-91	SE[3]
We don't use aides	40%	37%	±5.2
Instruction			
Aides provide instruction:			
When supervised by a Chapter 1 teacher	71	63	±5.2
When supervised by a regular classroom teacher	46	54	±4.8
On their own, without supervision of a Chapter 1 or regular school teacher	7	20	±2.9
Non-Instruction			
They perform CAI program maintenance or other computer-related tasks	NA	27	±3.5
They conduct home visits or other activities in parent involvement	NA	16	±2.4

---

[1] The totals in columns 1 and 2 exceed 100% because districts marked more than one response. The weighted base N for the first item in column 2 is 14,400 and the item nonresponse rate is 3 percent. For all other items in column 2, the weighted base N = 8,976. The source for column 2 is the District Survey of Chapter 1 Implementation, 1990.

[2] Questions on non-instruction in SY 1985-86 were not comparable to questions asked in the 1990-91 survey. The weighted base N and nonresponse rate are unavailable.

[3] SE represents the standard error of the percent of districts. Figure reads: Thirty eight (plus or minus 5.2) percent of districts do not use aides.

Source: NIE Chapter 1 District Survey, 1985-86.

Backup to Exhibit 2.5

CHAPTER 1 SCHOOLS AND SCHOOLS IN NEED OF IMPROVEMENT, BY DISTRICT ENROLLMENT SIZE

What is the total number of Chapter 1 schools and schools in need of improvement in your district?

	Chapter 1 Schools[1]				Chapter 1 Schools in Need of Improvement[2]			
Total District Enrollment	**Number**	**SE[3]**	**Percent**	**SE**	**Number**	**SE**	**Percent**	**SE**
25,000 students and above	7,623	---	15%	---	2,027	---	21%	---
10,000 to 24,999 students	5,672	---	11	---	1,206	---	12	---
5,000 to 9,999 students	7,133	±180	14	±0.4	1,340	±79	14	±0.8
2,500 to 4,999 students	9,616	±264	18	±0.6	1,466	±92	15	±0.9
1,000 to 2,499 students	9,768	±582	19	±1.0	1,732	±152	18	±1.4
Fewer than 1,000 students	12,215	±715	23	±1.1	2,004	±159	20	±1.4
Total	52,026	±1,215	100%		9,775		100%	

---

[1] The weighted base N is 14,898, for an item nonresponse rate of 0 percent.

[2] The weighted base N is 3,990, for an item nonresponse rate of 0 percent.

[3] SE represents the standard error of the number and percent. Because districts enorlling 10,000 or more students were selected with certainty, their data are not subject to sampling error.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 2.6

CHAPTER 1 SCHOOLS AND SCHOOLS IN NEED OF IMPROVEMENT, BY DISTRICT ENROLLMENT SIZE

What is the total number of Chapter 1 schools and schools in need of improvement in your district?

	Chapter 1 Schools[1]				Chapter 1 Schools in Need of Improvement[2]			
Poverty Quartile of District	**Number**	**SE[3]**	**Percent**	**SE**	**Number**	**SE**	**Percent**	**SE**
More than 21% poverty	14,328	±845	28%	±1.3	4,164	±234	43%	±1.9
13 to 21% poverty	14,621	±446	28	±1.0	2,829	±142	29	±1.5
7 to 12% poverty	10,960	±868	21	±1.6	1,385	±176	14	±1.9
Less than 7% poverty	12,117	±961	23	±1.7	1,396	±271	14	±2.6
Total	52,026	±1,215	100%		9,775	±326	100%	

---

[1] The weighted base N is 14,898, for an item nonresponse rate of 0 percent.

[2] The weighted base N is 3,990, for an item nonresponse rate of 0 percent.

[3] SE represents the standard error of the number and percent. Figure reads: 14,328 (plus or minus 845) Chapter 1 schools are in districts with more than 21 percent poverty.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 2.12

EVALUATION STAFF SUPPORTED BY CHAPTER 1, BY DISTRICT ENROLLMENT SIZE

Within each enrollment category, what percent of districts support some evaluation staff with Chapter 1 funds?

Total District Enrollment	Percent of Districts[1]	SE[2]
All districts	5%	±0.8
25,000 students and above	57	---
10,000 to 24,999 students	21	---
5,000 to 9,999 students	9	±1.3
2,500 to 4,999 students	8	±2.4
1,000 to 2,499 students	4	±2.3
Fewer than 1,000 students	1	±0.7

---

[1] Weighed base N is 10,678. Item nonresponse is 22 percent.

[2] SE represents the standard error of the percent of districts. Because districts enrolling 10,000 or more students were selected with certainty, the data presented on them are not subject to sampling error.

This item was only asked on the mail survey.

Figure reads: Fifty-seven percent of the largest districts support some evaluation staff with Chapter 1 funds, whereas only one (plus or minus 0.7) percent of districts with less than 1,000 students support evaluation staff.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 2.13

PROCEDURES TO ASSESS EDUCATIONAL NEEDS OF CHAPTER 1 STUDENTS

Has this district established procedures for assessing the educational needs of individual Chapter 1 students who have remained in the program after two consecutive years and have not shown achievement gains?

	Percent of Districts[1]	SE[2]
This district has completed procedures	28%	±5.1
This district is currently developing procedures	35	±2.6
This district has not begun to develop procedures	37	±5.2
Total	100%	

---

[1] The weighted base N for the number of districts is 14,339. The nonresponse rate is 4 percent.

[2] SE represents the standard error of the percent of the districts. Figure reads: Thirty-five (plus or minus 2.6) percent of districts are currently developing procedures.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 3.1

NUMBER OF SCHOOLWIDE PROJECTS NATIONWIDE

How many Chapter 1 schoolwide projects are operating in 1990-91 in each of the following types of schools?

	National Estimate of Schools[1]	SE[2]
Elementary schools	1,179	±123
Middle or junior high schools	128	±37
High schools	44	±19
Combined junior and senior high schools	1	±1
Combined elementary/secondary schools	10	±6
Total	1,362	±408

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[1] Weighted base N of districts is 408. Nonresponse rate is 0 percent.

[2] SE represents the standard error of the national estimate of schools. Figure reads: 1,179 (plus or minus 123) elementary schools are operating Chapter 1 schoolwide projects.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 3.2

DISTRICTS WITH SCHOOLS ELIGIBLE FOR SCHOOLWIDE PROJECTS

Does this district have any schools with at least 75 percent of the students living in the attendance area or enrolled in the school who are from low-income families?

Total District Enrollment	Percent of Districts[1]	SE[2]
25,000 and more students	63%	---
10,000 to 24,999 students	26	---
5,000 to 9,999 students	18	±1.7
2,500 to 4,999 students	12	±1.7
1,000 to 2,499 students	6	±1.3
Fewer than 1,000 students	8	±3.0
All districts	10%	±1.6

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[1] Weighted base N is 14,622, with an item nonresponse of 2 percent.

[2] SE represents the standard error of the percent of districts. Because districts enrolling 10,000 students or more were selected with certainty, their data are not subject to sampling error.

Figure reads: Eighteen (plus or minus 1.7) percent of districts enrolling 5,000 to 9,999 students have at least one school eligible to be a schoolwide project.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 3.3

DISTRICTS OPERATING SCHOOLWIDE PROJECTS COMPARED TO THOSE WITH ELIGIBLE SCHOOLS, BY SIZE OF DISTRICT

What proportion of school districts that have eligible schools are operating schoolwide projects?

Total District Enrollment	Percent of Districts[1]	SE[2]
25,000 and more students	62%	---
10,000 to 24,999 students	38	---
5,000 to 9,999 students	34	±4.3
2,500 to 4,999 students	31	±6.9
1,000 to 2,499 students	36	±12.5
Less than 1,000 students	15	±8.5
All districts	29%	±5.5

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[1] Weighted base N is 1,412 with an item nonresponse of 0 percent.

[2] SE represents the standard error of the percent of districts. Because districts enrolling 10,000 or more students were selected with certainty, their data are not subject to sampling error.

Figure reads: Thirty-four (plus or minus 4.3) percent of districts enrolling 5,000 to 9,999 students that have eligible schools are operating schoolwide projects.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 4.1

OBJECTIVES OF CHAPTER 1 PARENT INVOLVEMENT

Which of the following parent involvement objectives is this district pursuing this year? Which is the district's major focus?

	Percent of Districts[1]			
	An Objective	SE[2]	The Major Focus	SE
Communicating with individual parents about their own children's progress in Chapter 1	97%	±0.8	52%	±3.7
Training parents in ways of helping their children at home	81	±1.9	28	±2.7
Communicating the key features of the Chapter 1 program to all parents, for example, through an annual meeting	95	±1.7	17	±2.2
Having parents advise the Chapter 1 program	81	±2.3	3	±0.8
Other	4	±1.6	0	±0.2
Total			100%	

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[1] In the first column, the total exceeds 100 percent because districts marked more than one response. Weighted base N for the first column is 14,819. For the second column, the weighted base N is 12,423. The nonresponse rate for the first column is less than 1 percent. The nonresponse rate for the second column is 17 percent.

[2] SE represents the standard error of the percent of districts. Figure reads: Ninety-seven (plus or minus 0.8) percent of districts report that communicating with individual parents about their own children's progress in Chapter 1 is an objective.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 4.2

CHANGES IN CHAPTER 1 PARENT INVOLVEMENT ACTIVITIES, 1987-88 AND 1990-91

During the school years 1987-88 and 1990-91, did your district have or does it plan to have each of the following activities related to Chapter 1 parent involvement?

	Percent of Districts[1]			
	1987-88	SE[2]	1990-91	SE
Dissemination of home-based education activities to reinforce classroom instruction	46%	±2.8	73%	±4.9
Parent advisory council	64	±5.9	65	±5.1
Use of parents as classroom volunteers, tutors or aides	40	±5.8	53	±2.6
Utilization of designated liaison staff to work with parents, training teachers, or coordinate parent involvement activities	32	±2.7	47	±2.7
Linkage with other programs providing adult literacy skills	9	±1.2	22	±1.8
Special activities or strategies for parents who lack literacy skills or whose native language is not English	11	±1.5	22	±1.7
Parent resource center	6	±1.2	16	±2.1
Other	7	±1.9	10	±1.8

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[1] Total exceeds 100 percent because districts marked more than one response. The weighted base N for 1987-88 is 12,372, while the weighted base N for 1990-91 is 14,446. The nonresponse rate for the first column is 17 percent. The nonresponse rate for the second column is 3 percent.

[2] SE represents the standard error of the percent of districts. Firgure reads: In 1990-91, 73 (plus or minus 4.9) percent of districts plan to disseminate home-based education activitites to reinforce classroom instruction.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 6.3

METHODS USED TO SERVE PRIVATE SCHOOL STUDENTS IN CHAPTER 1

What percent of private school students being served in your Chapter 1 program receive services through each of the following methods?

	Percent of Students[1]	SE[2]
Computer system [in the private school]	32%	±4.0
Mobile vans	29	±3.5
Neutral sites	24	±5.8
Public schools	12	±2.2
Other ways	2	±0.7

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[1] Only districts that serve private school students are included. Weighted base N is 2,294. The nonresponse rate is 20 percent.

[2] SE represents the standard error of percent of students. Figure reads: Thirty-two (plus or minus 4) percent of private school students are served by computer systems in the private school.

Source: District Survey of Chapter 1 Implementation, 1990.

Backup to Exhibit 6.4

USES OF CAPITAL EXPENSES FUNDS AND MEDIAN DISTRICT AWARDS

Across the years for which payment was received from the state, indicate the amount of Chapter 1 capital expenses funds and the purposes for which funds were expended.

	Funds Spent[1]	SE[2]	Percent of Districts Using the Option	SE	Median Award
Purchase of real and personal property	$14,052,530	±5,413,552	17%	±4.4	$50,000
Transportation	3,691,313	±2,008,514	42	±13.0	$ 2,279
Other comparable goods and expenses	2,120,187	±428,170	42	±13.5	$ 2,549
Lease of real and personal property	2,075,719	±541,085	35	±10.2	$ 1,484
Maintenance	1,513,040	±407,594	17	±5.3	$ 1,500
Renovation of real and personal property	595,011	±252,396	5	±1.1	$ 5,285
Insurance	431,823	±315,002	8	±2.2	$ 2,413
Total	$24,479,623	±7,062,217			

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[1] The table reports only on districts that serve private school students, that applied for capital expenses reimbursements, and that received capital expenses funds. The item was asked only of mail respondents. The weighted base N is 514. The nonresponse rate is 6 percent. The second column adds to more than 100 percent because respondents chose multiple categories.

[2] SE represents the standard error of funds spent or percent of districts. Figure reads: $14,052,530 (plus or minus 5,413,552) was spent by districts on the purchase of real and personal property.

Source: District Survey of Chapter 1 Implementation, 1990.

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